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ABSTRACT

The 1973 Indiana University handbook begins with a brief discussion of the university objectives and goals. The information, policies, and procedures that follow are applicable to all campuses of the university system. Administrative, personnel, and student policies are covered. Topics include administrative organization of the university and the faculty; faculty responsibility and privileges; student admissions and enrollment policies; and ancillary services. (KE)

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Academic Handbook

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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Indiana University

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Indiana University Academic Handbook

The information, policies, and procedures set forth here are applicable to academic appointees on all campuses of the University system.

At a number of points throughout this Handbook there are references to campus-specific Handbooks in which various provisions are to be more fully spelled out. Among these are such matters as the routing of various types of applications, recommendations, and the like. These are, of course, the sorts of matters that can be expected to vary from campus to campus. In the case of Bloomington and some other campuses, the campus-specific Handbooks may not be completed when this Handbook is first published. Where this is the case, it is preferable to assume that the corresponding provisions of the "old" Faculty Handbook apply during the interim period.

Faculty and staff who have suggestions for the correction and improvement of the Indiana University Academic Handbook should communicate these directly to the Vice President and Dean for Academic Affairs and to the Dean of the Faculties or Chancellor of the campus.

The information, policies, and procedures set forth here are based upon determinations of the Board of Trustees, the Faculty Council, and other official bodies and committees of the University, or reflect current administrative practice which is considered to be in conformity, or at least not to conflict, with appropriately sanctioned policy or regulations. The italicized entries appearing in parentheses following portions of the text indicate the basis of the immediately preceding provisions.

1973 Edition

I. Governance of the University

THE UNIVERSITY'S OBJECTIVES AND IDEALS

The primary objective of Indiana University was well expressed in the statute of 1837-38 by which the already established Indiana College was transformed into a university. This statute provided that "there shall be established and hereby is created a university—for the education of youth in the American, learned, and foreign languages, the useful arts, sciences, and literature, to be known by the name and style of the Indiana University."

The faculty of the University, in keeping faith with the founders of the institution, has always accepted as a primary responsibility the effective teaching of the young men and women who enroll as students in the institution. The members of the faculty have always prided themselves upon the quality of their teaching. While faculty members may, on occasion, have had to curtail other services and activities, they have always insisted on assuming individual responsibility for the best teaching possible in their classes. The attitude has been to set forth the material of one's course thoroughly, clearly, and with enthusiasm; to stimulate and encourage one's students to exert the effort required for successful work; and to feel, when students fail, that, at least sometimes and in some measure, failure is the fault of the teacher as well as of the student. Because of this attitude, the individual teacher continuously studies the effectiveness of teaching methods and devices with a view to increasing the effectiveness of his or her effort. A university without students is unthinkable. So long as it exists, therefore, an institution of this kind depends upon its students, and the teaching of these students remains the primary reason for its continued existence.

There are, of course, other objectives which, in the course of the development of institutions of higher education in America and elsewhere, have become matters of increasing concern and interest on the part of the faculties of uni-

versities. Chief among these is the contribution of the faculty outside the classroom to the general welfare of society and its institutions. This contribution involves studies, research, and publication. These serve to provide information and to advance our understanding of the world of nature and of man and of man's role in nature and in society. Indiana University prides itself upon the contributions of its faculty along these lines and looks forward to the contributions that will be made by each new appointee. Through the years of the institution's history, those who have guided the destinies of the University have accepted as their philosophy the basic principle that a university is not merely an association of teachers but, rather, that the faculty of a university must be composed of scholars who are effective teachers.

THE TRUSTEES OF INDIANA UNIVERSITY

The Trustees, sometimes called the Board of Trustees, comprises eight persons, each selected for a term of three years. Five are selected by joint action of the Indiana State Board of Education and the Governor of Indiana; three are elected by degree-holding alumni of the University. The terms are so arranged that one member is elected each year by the alumni; the number to be selected by joint action varies from year to year. The Board is required by statute to meet once annually on the occasion of Commencement, but usually meets monthly in public on one of the several campuses of the University which provides an opportunity for direct contact with the University's several communities of faculty and students.

The Board of Trustees is charged by statutes of the state of Indiana with duties and responsibilities including but not limited to the following:

(a) To govern the disposition and method and purpose of use of the property owned, used, or occupied by the institution, including the governance of travel over and the assembly upon such property;

(b) To govern, by specific regulation and other lawful means, the conduct of students, faculty, employees, and others while upon the property owned by or used or occupied by the institution;

(c) To govern, by lawful means, the conduct of its students, faculty, and employees, wherever such conduct might occur, to the end of preventing unlawful or objectionable acts which seriously threaten the ability of the institution to maintain its facilities available for performance of its educational activities or which are in violation of the reasonable rules and standards of the institution designed to protect the academic community from unlawful conduct or conduct which presents a serious threat to person or property of the academic community;

(d) To dismiss, suspend, or otherwise punish any student, faculty member, or employee of the institution who violates the institution's

rules or standards of conduct, after determination of guilt by lawful proceedings;

(e) To prescribe the fees, tuition, and charges necessary or convenient to the furthering of the purposes of the institution and to collect the same;

(f) To prescribe the conditions and standards of admission of students upon such bases as are in its opinion in the best interests of the state and the institution;

(g) To prescribe the curricula and courses of study offered by the institution and to define the standards of proficiency and satisfaction within such curricula and courses;

(h) To award financial aid to needy students and award scholarships in encouragement of excellence of achievement out of the available resources of the institution as shall seem desirable and in the best interests of the institution and its students;

(i) To cooperate with other institutions to the end of better assuring the availability and utilization of its total resources and opportunities to provide excellent educational opportunity for all persons. (I.C. 20-12-1)

As is evidenced by the listing of duties and responsibilities, the Board is the corporate body charged with a wide range of policy-making and decisional authority by the General Assembly of the State, which grants the powers executed by the Trustees. Also, other statutes provide that certain actions may be taken by the Trustees only after approval of the Commission for Higher Education of the State of Indiana, a body designed to assure the most effective deployment of higher education resources, both public and private, within the state.

A full-time Secretary is appointed by the Board. The Secretary's office stands ready to receive items of business appropriate for Board consideration.

(State Statute)

ADMINISTRATIVE ORGANIZATION OF THE UNIVERSITY

The Indiana University System

Indiana University is composed of three basic operating units plus a central coordinating unit interrelated through their missions, programs, faculties, and services. Indiana University Bloomington (IUB), Indiana University-Purdue University at Indianapolis (IUPUI), and Indiana University Regional Campus Administration (RCA), as separate and distinct components are coordinated through the Office of the President. The Indiana University System, comprised of these four elements, is viewed as a combination of autonomous and semi-autonomous operating units with distinctly assigned missions. These units are mutually re-enforcing, and held together through common policies and procedures, an information network, and several shared central services.

Centralized planning, coordination, and policy control through the President and the Office of the President, coupled with a high degree of effective delegation to the several chancellors, has been determined as the best means possible to assure the continued viability of the System.

Where University-wide services of an operating nature appear to be more practical and economical than local operations, centralization has been retained. Functions which can best be performed locally are assigned to local campus personnel with adequate authority delegated to them. Centralized services may originate at any geographical location where resources and expertise exist. Adjustments and modifications of delegated decisional authority from the Office of the President are made from time to time where performance indicates that policy direction is not being followed, authority is not being used, or where decisions are not being implemented successfully.

Office of the President

The Office of the President is designed to extend the knowledge, skills, and abilities of the System's chief executive to a relatively small number of highly qualified professional personnel. It consists of the President; Vice President and Dean for Academic Affairs; Vice President for Finance and Treasurer; Vice President and Dean, Research and Advanced Studies; and an Executive Vice President—with their respective staffs.

It is intended that the Office of the President will be involved in a minimum of operating activities—those programs and services that are required by the System as a whole. Its major role is that of policy determination and coordination relative to resource plans and allocations, communication, representation, fiscal activities, and the monitoring of the total System.

President

The President is the chief executive of the University, and is responsible for the operation of the entire University System within the framework of general policies provided by its Board of Trustees in keeping with the laws of the state.

The President is directly accountable to the Board of Trustees for accomplishing the objectives of the Indiana University System, for determining missions and priorities for its several elements, and for the effective and economical planning, utilization, and management of its resources. The President is also charged with responsibility for keeping the Indiana Higher Education Commission, as well as the Indiana University Board of Trustees, informed on current and long-range plans and developments. The President recommends to the Board of Trustees policies and decisions that will enable the University to cope with its many publics and a rapidly changing environment.

The President is responsible for the external relations of the University System with governmental and private agencies at all levels and represents the University at system-wide functions.

Vice Presidents

The Vice Presidents all have executive responsibilities as members of the Office of the President where they function with the President as a team. In addition, they have functional authority over the work assigned directly to their units as it relates to policymaking and coordination for their respective functional areas on a system-wide basis. Where operating authority is involved, as in the case of a system-wide program operating from their respective units, they exercise ultimate line authority.

Vice President and Dean for Academic Affairs

The Vice President and Dean for Academic Affairs is responsible for all policies and procedures relating to academic programs. In this role, the Vice President for Academic Affairs is expected to represent the communities of scholars that comprise the various faculties and to provide vigorous leadership for their specific responsibilities, including academic program development, academic resource planning, academic budgetary review, and academic manpower utilization. System-wide academic support services including libraries, television and radio, audio-visual services, and system-wide academic units such as the School for Public and Environmental Affairs and the Division of Continuing Education are also coordinated through this office.

Vice President for Finance and Treasurer

The Vice President for Finance and Treasurer is the principal fiscal officer of the University and sees to it that the financial and business operations serve the academic programs of the University and its several campuses. The incumbent is elected annually to serve as the Treasurer of the University by the Board of Trustees. Financial policy formulation, budgetary analysis and planning, budgetary administration, business management, investments, centralized accounting, personnel, physical facilities, and purchasing activities are some of the specific activities under the direction of the Vice President for Finance and Treasurer. Direct functional support and guidance is provided to all business and fiscal managers throughout the system.

Vice President and Dean, Research and Advanced Studies

The Vice President and Dean, Research and Advanced Studies, has broad responsibilities for both institutional and individual research activities, international programs and projects involving more than a single campus, and for the effective representation of the University to private and public granting agencies. This officer plays a major role in assisting faculty personnel in locating research monies and in the preparation of research proposals. Research support allocation and administration are other important responsibilities of this position, as is the supervision of multi-campus research centers, institutes, and related programs, and the admininstration of financial aids, grants, and scholarships throughout Indiana University.

Executive Vice President

The Executive Vice President is a position for which the assigned duties are

seldom precise and are susceptible to considerable change. The Executive Vice President is expected to act for the President in his absence, to assume special assignments at the direction of the President, and to lighten the administrative and representative burdens that the President's official position requires. The position is viewed primarily as an extension of the chief executive's function.

Chancellors

The Bloomington Chancellor, the IUPUI Chancellor, and the Chancellor for Regional Campus Administration report to the Office of the President. Lines of functional authority, responsibility, and accountability exist between these Chancellors and the Vice Presidents. The Chancellors receive functional direction and guidance through the policies, executive decisions, and established procedures from the respective Vice Presidents.

The Chancellor for Regional Campus Administration acts for and coordinates the actions of the several local regional campus Chancellors, who are ultimately accountable through that office to the President.

Such assignments of authority and responsibility do not preclude personal contacts between the President and the Chancellors. The President is the individual with whom final authority rests and the President retains the privilege of reviewing, changing, and modifying decisions made by those in the Office of the President. For matters not specifically delegated to the Vice Presidents, direct contacts by the Chancellors with the President are encouraged.

It is anticipated that the Regional Campus Administration will disappear from the organizational structure at some time in the near future as specific regional campuses mature and achieve greater autonomy within the System.

Office of the President Staff

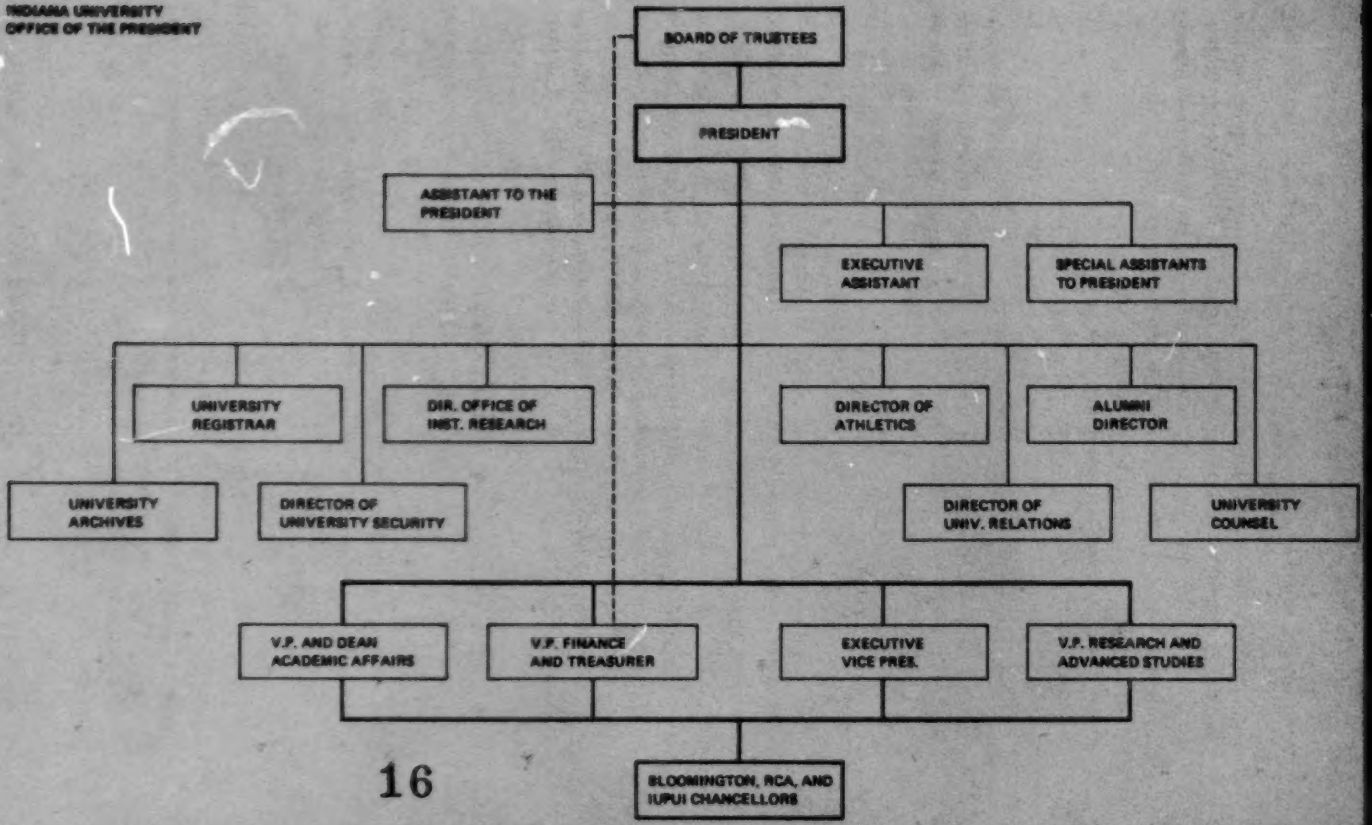
A number of special staff, administrative, and advisory functions, as well as system-wide central services, are the responsibility of the Office of the President.

Intercollegiate athletics, alumni programs, university relations, and legal affairs are responsibilities of the President and are administered by directions through this office. Noteworthy, too, is the responsibility for Affirmative Action Programs. The Office of Institutional Research, Archives, and the University Registrar play important roles in the creation, use, and retention of vital information required throughout the entire system, and operate under the direction of this Office, as does the Director of University Security, who coordinates plans for the protection of people and resources through the local campus security officers.

Special assignments, committee appointments, communication systems, including data systems and service, research computing, organizational matters, and day-by-day administrative details are handled by professional specialists.

(Office of the President)

INDIANA UNIVERSITY
OFFICE OF THE PRESIDENT



ORGANIZATION OF THE FACULTY

The Constitution printed below is updated with respect to amendments on which action had been completed by January 1, 1973. As this document goes to press, an effort is underway to produce a new Constitution reflecting more accurately the present situation of Indiana University as a system. Later printings of this Handbook will reflect the product of this current effort at redoing the Constitution.

Faculty Constitution

ARTICLE I. THE FACULTY

Section 1. Source of Powers

Subject to the limitations imposed by the laws of the state of Indiana, this constitution confirms and establishes in the faculty the powers and duties herein specified.

Section 2. "The Faculty": Title

The President, professors, and instructors shall constitute "the faculty" of Indiana University.

Section 3. Voting Members

The President, the Vice President and Dean of the Faculties, the academic deans, and persons holding appointments to the academic rank of instructor or professor, as full-time instructional or research members of a regularly established college, school, or academic division of the University, shall be voting members of the faculty.

Section 4. Associate Members

Persons who are administrative officers of the University who do not hold academic rank, and all persons holding academic appointment but who do not qualify as voting members, shall be associate members of the faculty. An associate member shall have all membership privileges except that of voting.

Section 5. Emeritus Members

An emeritus member of the faculty shall have the same privileges as an associate member.

Section 6. Certification of Members

The Vice President and Dean of the Faculties shall certify to the Secretary of the Faculty the names of all academic appointees and their membership classification. The certification shall be made within two weeks after the opening of the school year, and thereafter as appointments by the Board of Trustees occur.

ARTICLE II. OFFICERS

Section 7. Presiding Officer

The President of the University shall be the presiding officer of the faculty. In

his absence, the Vice President and Dean of the Faculties shall preside. In the absence of the Vice President and Dean of the Faculties, the senior academic dean present at the meeting shall preside. Seniority shall be determined by the order of the establishment of schools and colleges.

Section 8. The Secretary
The Secretary shall be elected annually from the voting members of the faculty. He shall assume his office at the first regular meeting of each academic year.

Section 9. The Parliamentarian
The Parliamentarian shall be elected annually from the voting members of the faculty. He shall assume his office at the first regular meeting of each academic year.

Section 10. Manner of Election
The above-mentioned elective officers of the faculty shall be elected as follows:

a. The President shall annually appoint an election committee of three voting members.
b. The committee shall mail to each voting member a nomination ballot during the first week of March.
c. Each voting member may submit a nomination for each elective office.
d. From the result of this ballot the committee shall submit by mail a second ballot containing the names of the three nominees for each office receiving the largest number of votes.
e. The candidate receiving the highest number of votes on the second ballot shall be declared elected and the committee shall report the results to the faculty and to the President. In case of a tie, the selection shall be determined by lot.

ARTICLE III. MEETINGS

Section 11. Regular Meetings
The faculty shall hold one regular meeting during each academic year, at which time the President shall report in detail on the state of the University, summarizing the academic, public service, and fiscal operations of the preceding academic year. He may make such recommendations to the faculty and call such problems to their attention as he deems pertinent to their responsibility as a faculty. The date of this regular meeting shall be fixed by the President and shall be during the first six weeks of the first semester of each academic year.

Section 12. Special Meetings
Special meetings of the faculty may be called by the President, or in his absence by the Vice President and Dean of the Faculties, or by the Secretary on petition of twenty-five voting members, or on request of the Faculty Council.

Section 13. Notice of Meetings
Except in the case of an emergency declared by the President, or in his absence

by the Vice President and Dean of the Faculties, the Secretary of the Faculty shall notify by mail each voting member of the faculty at least one week in advance of the date of a regular or special meeting.

Section 14. Quorum
Twenty-five voting members shall constitute a quorum for the conferring of degrees and for the receiving of reports; for all other business fifty voting members shall constitute a quorum.

Section 15. Record of Meetings
The Secretary shall prepare, in triplicate, the minutes of all faculty action. He shall retain the original in his own office and file one copy with the President and one copy with the Faculty Council.

ARTICLE IV. LEGISLATIVE AUTHORITY OF THE FACULTY

Section 16. Legislative Authority
The faculty shall possess the legislative authority on all matters relating to:

a. The conferring of degrees.
b. The curriculum and the structure of the University with reference to academic matters.
c. Student conduct and discipline.
d. Faculty conduct, tenure, and discipline.

Section 17. Resolving Authority
The faculty may express, by formal resolution, their opinion on any questions relating to the policy or administration of the University.

Section 18. Exercise of Authority
The legislative authority of the faculty may be exercised by the faculty in regular or special meeting, by mail vote, or, subject to the limitations of this constitution, by the Faculty Council.

ARTICLE V. FACULTY COUNCIL

Section 19. Functions of the Faculty Council

a. MEETINGS
The President shall call the first meeting of the Faculty Council within the first two weeks of the fall semester. The Faculty Council shall meet regularly on the first and third Tuesdays of each month and also on the fifth Tuesdays when such days occur during the regular school year.

b. LEGISLATIVE FUNCTIONS
All matters appropriate for general faculty action under Article IV, Section 16, may be considered by the Faculty Council. The Faculty Council may act or refer such matters with recommendations to the general faculty.

c. ADMINISTRATIVE FUNCTIONS
The Faculty Council shall:
1. Adopt bylaws to this constitution.
2. Prepare its own agenda through its Agenda Committee.

3. Initiate proposals for its own and general faculty consideration.
4. Elect committees whenever necessary for the discharge of its functions.
5. Fill vacancies for unexpired terms which occur in the office of Secretary or Parliamentarian or in any elected committee.
6. Make a continuing study of the effects of past legislation.

d. CONSULTATIVE FUNCTIONS

The Faculty Council or any members thereof shall be available at all times to act in an advisory or consultative capacity with any members of the central administration on matters of policy.

Section 20. Organization of the Faculty Council

a. MEMBERSHIP OF UNIVERSITY FACULTY COUNCIL

1. The voting membership of the University Faculty Council shall be composed of elected and ex-officio members. The University President shall be an ex-officio voting member as shall the Chancellor from each campus of the University. Each campus shall be represented by one voting student representative. Elected faculty representatives shall be maintained at all times at a ratio of two to one to the total of ex-officio voting members and student voting members. Each campus shall be entitled to at least one elected faculty representative.
2. The University academic vice presidents (Executive Vice President and Dean for Administration, Vice President and Dean for Academic Affairs, Vice President and Dean, Research and Advanced Studies, Vice President and Chancellor for Regional Campuses) shall be ex-officio non-voting members of the University Faculty Council.

b. TERM OF OFFICE

1. The term of office of elected faculty members on the University Faculty Council shall be for two years beginning with the organizational meeting following their election.
2. At the first election of voting faculty members one-half of those elected shall be designated to serve for one year. The determination shall be made by lot.
3. Elected faculty members of the Council shall be eligible for re-election at the end of their term. After serving two consecutive terms on the Council, a member is ineligible for re-election until a period of one year has elapsed.
4. The term of office of student members of the Council shall be for one year. Student members are eligible for re-election at the end of their term. After serving two consecutive terms they are ineligible for re-election until a period of one year has elapsed.

Section 21. Election of Members

a. FACULTY MEMBERS

1. Elected faculty members of the University Faculty Council shall be voting members of the University faculty from the several campuses of Indiana University. All faculty members on tenure or accumulating

credit toward tenure shall be voting members of the faculty. All other faculty members are non-voting.

2. Elected faculty members of the University Faculty Council shall be elected by the members of the faculty in each campus in accordance with procedures to be determined by each campus. The definition and role of the faculties of the individual campuses will be determined by the constitution of each campus.
3. The number of faculty members which each campus is entitled to elect shall be proportionate to the number of full-time academic appointments in each campus, provided that there shall be at least one elected member from each campus. The actual number of elected members from each campus shall be determined prior to each election by the election committee of the University Faculty Council.
4. Each campus shall certify to the President by April 1 of each year the persons elected from that campus to serve on the University Faculty Council. The President shall convene the new University Faculty Council for purposes of organization before April 15 of each year.

b. STUDENTS

Student members of the University Faculty Council shall be selected in accordance with procedures adopted and approved by the Faculty governing body of each campus.

c. ADDITIONAL CAMPUS REPRESENTATION

Whenever a new campus is established the Vice President and Dean for Academic Affairs shall so certify to the Secretary of the University Faculty Council. The new campus thereupon shall be entitled to be represented on the Council in the same manner as existing campuses.

Section 22. Responsibilities of the Faculty Council to the General Faculty

a. The Faculty Council shall promptly report to the members of the general faculty all its proceedings.
b. If an action of the Faculty Council does not receive unanimous approval, the Secretary shall record and report in his minutes those voting for or against and those not voting on the action.
c. If a proposal does not receive a two-thirds concurrence of the members of the Faculty Council who are present, the Faculty Council by a majority vote shall determine whether the action involved is legislative and, therefore, to be submitted to the general faculty as described under item d. of this section.
d. A general faculty meeting shall be called to discuss a legislative proposal referred to it by the Faculty Council. After discussion, the Secretary of the Faculty Council shall prepare and circulate to the voting members of the faculty a ballot which shall provide for a vote "for" or "against" the legislative proposal. The ballot shall be returned to the Secretary who shall count the votes, preserve them for future inspection for a reasonable length of time, and report the results to the Faculty Council, the President, and to

the general faculty. A majority of those voting shall determine action on a legislative proposal submitted to the general faculty.

ARTICLE VI. REVIEW FUNCTIONS OF THE FACULTY

Section 23. Areas of Application

The faculty shall express its judgment on administrative action by giving an opinion and recommendation on any case presented to it which raises an issue of academic freedom, tenure, promotion, salary adjustment, or the nature or conditions of work.

Section 24. The Faculty Board of Review

The review function of the faculty shall be exercised by a Faculty Board of Review. The elected representatives on the Faculty Council shall select five tenured members of the faculty as the Faculty Board of Review and shall designate one of them as the presiding member. The members shall hold office from the first day of February for a term of one year, but they shall complete the review of any case which they have begun to consider. At least two years shall elapse between terms of office. No more than two members of the Faculty Board of Review may be elected from a single academic division of the University, no more than two from the same academic rank.

Section 25. Responsibility of the Faculty Board of Review

The Faculty Board of Review shall hear cases concerning academic freedom, tenure, promotion, salary adjustment, and the nature of conditions of work. Any member of the faculty desiring a review of administrative action in these stated areas shall request in writing a hearing by the Faculty Board of Review.

Section 26. Procedure of the Faculty Board of Review

a. CASES INVOLVING DISMISSAL OF A FACULTY MEMBER

1. Before formal dismissal proceedings are begun, the elected members of the Faculty Advisory Committee to the Dean of the Faculties shall consider the case and, if an informal resolution satisfactory to the University and to the faculty member cannot be achieved, shall determine whether in its view formal dismissal proceedings should be instituted. If the Committee recommends such proceedings, or if the President, after considering a recommendation of the Committee favorable to the faculty member, decides that a proceeding should be undertaken, a statement with reasonable particularity of the grounds proposed for the dismissal shall be formulated jointly by the Committee and the President or his representative; if there is disagreement, the President or his representative shall formulate the statement.
2. The proceeding shall be begun by a written communication from the President to the faculty member stating the proposed grounds for dismissal. The President shall also inform the faculty member that a hearing on the proposed grounds will be conducted by the Faculty Board of Review at a specified time and place. In setting the date of the hearing, sufficient time shall be allowed for the faculty member to prepare his

case. The faculty member, not less than seven days before the specified date, should state whether he wishes to appear or to be represented at the hearing and he may answer in writing the statement of grounds proposed for his dismissal.

3. In the hearing before the Faculty Board of Review, the faculty member shall have the right to counsel of his own choice, shall be permitted to present witnesses or other evidence in his behalf and shall be entitled to the cooperation of the Board in securing the attendance of witnesses, and also shall have the right to hear and question all witnesses and to examine all evidence presented in support of the termination of his appointment. A full stenographic record of the hearing shall be prepared and made available to the parties concerned. The hearing shall be conducted in private but shall be open if the faculty member so requests.
4. On the completion of the hearing, the Board shall proceed promptly to decision. The recommendation of the Board shall be supported by explicit findings with respect to each of the grounds of dismissal proposed. The findings and recommendation of the Board shall be communicated promptly in writing to the affected faculty member and to the President who shall inform the Board of Trustees of the action of the Board of Review. The final decision of the Board of Trustees shall be made with reasonable promptness, and it shall be communicated by the President to the affected faculty member in a registered letter.

b. OTHER CASES

In cases involving promotion, salary, or nature or conditions of work, the Board of Review shall hear the faculty member concerned and make such other investigation as it deems necessary or advisable in formulating its opinion and recommendation. This opinion and recommendation shall be forwarded in writing to the appropriate administrative official, or officials, and thirty days thereafter to the faculty member concerned. The appropriate administrative official shall state in writing his decision with reasons therefore. This statement also shall be sent to the faculty member concerned.

c. PUBLICITY

Public statements either by faculty members or by administrative officials about cases before the Faculty Board of Review should be avoided. Any announcement of the final decision should include either the complete statement or a fair abridgement of the recommendation of the Faculty Board of Review, if it has not previously been released.

d. REPORT TO THE FACULTY COUNCIL

The Faculty Board of Review shall report annually to the Faculty Council the number and types of cases presented to it, and indicate the number of cases in which it was recommended that the faculty member be sustained.

Section 27. Disqualification

If a member of the Faculty Board of Review is involved in a case before the

Board, or is a member of a department (or college which is not departmentalized) from which a case arises, he shall be disqualified to hear or investigate the case.

Section 28. Personal Disqualification
A member of the Faculty Board of Review shall disqualify himself from a hearing or investigating a case whenever he believes he cannot render an impartial judgment.

Section 29. Appointment of Temporary Member
Whenever a member of the Faculty Board of Review is disqualified by the terms of Section 27, or disqualified himself as provided by Section 28, or is no longer a member of the faculty, the elected representatives of the Faculty Council shall appoint a member to fill the vacancy for the particular case pending before the Board.

Section 30. Continuation of Powers
All faculty action taken prior to the adoption of this constitution and not in conflict with it is hereby specifically confirmed until changed by formal action taken under the terms of this constitution.

ARTICLE VII. AUTHORITY OVER STUDENT CONDUCT

Section 31. Statutory Power
The faculty exercises the statutory power "To enforce regulations adopted by the Trustees for the government of the students, to which end, they may reward and censure, and may suspend those who continue refractory, until a determination of the Board of Trustees can be had thereon." This authority may be delegated to appropriate University officials and bodies, subject to review by the faculty at its discretion.

ARTICLE VIII. AMENDMENTS

Section 32. Method of Amendment
When an amendment of the constitution is proposed, the procedure shall be as follows. A motion which introduces an amendment to the constitution shall be presented to and discussed by the Faculty Council. If the Council votes to recommend that the general faculty consider an amendment, the Secretary of the Faculty Council shall circulate the document to the voting members of the faculty. A waiting period of thirty class days (exclusive of summer sessions) shall then elapse during which time faculty members may request the Faculty Council to call a general faculty meeting to discuss the proposed amendment. Immediately after the waiting period one of two steps shall be taken.

a. If, *during the waiting period described above,* twenty-five or more faculty members *have requested* a general faculty meeting, the Secretary of the Faculty Council shall inform the Secretary of the Faculty that a faculty meeting should be held. The date of the meeting shall be within thirty class days after the end of the waiting period, or by October 15 of the

same year if the amendment is introduced after March 1. Consideration of the proposed amendment shall be the first order of business. The vote on the proposal shall be by mail ballot within two weeks after the faculty has voted that discussion on the proposal is closed. *The mail ballot shall be accompanied by a summary of the arguments presented during the discussion at the general faculty meeting.*

b. If fewer than twenty-five faculty members *have requested* a general faculty meeting, the Secretary of the Faculty Council shall inform the Secretary of the Faculty that a mail ballot on the proposed amendment should be initiated. The mail ballot shall be distributed within two weeks after the end of the waiting period. The Secretary of the Faculty shall circulate the ballot to the voting members of the faculty, count the ballots, and report the results to the general faculty. A majority of those voting by mail shall be necessary for the adoption of the amendment.

(Faculty approval)

Bylaws of the Faculty Council

1. *Robert's Rules of Order* shall govern the conduct of the meetings of the Faculty Council except insofar as the bylaws may make express provision to the contrary.
2. The meetings of the Faculty Council shall begin at 2:30 p.m. and adjourn at 5:30 p.m. unless a later adjournment is agreed to unanimously. The Faculty Council by concurrence of a simple majority vote may fix a different time for a regular meeting or call a special meeting.
3. The presence of a majority of the members of the Faculty Council shall constitute a quorum.
4. The voting for the elected members of the Faculty Council shall be completed before the last meeting of the Faculty Council in April. At this meeting the Election Committee shall report the results of the voting to the Faculty Council.
5. At the conclusion of the last regular meeting of the Faculty Council in May, the voting members of the Council as it will be constituted in the ensuing year shall elect a Secretary, two additional members of the Agenda Committee, and a Parliamentarian. Nominations for these posts shall be submitted by a Nominations Committee, consisting of three members appointed by the President from among the elected members who will constitute the Council in the ensuing year.
6. The duties of the Secretary shall be as follows:
   a. He shall keep comprehensive minutes of the proceedings and actions of the Faculty Council. The taped recording of a meeting of the Faculty Council will be retained for 12 months by the Secretary for reference by any interested member of the faculty.
   b. He shall prepare a summary of the activities of the Faculty Council each year and distribute it to the general faculty.
   c. He shall serve as Chairman of the Agenda Committee.

d. He shall report in his minutes the names of those present at a Faculty Council meeting. In addition to absences, he shall report the names of alternates present.

e. He shall as soon as possible after each meeting of the Council circulate the unapproved minutes of the meeting, Faculty Council documents, and the time, place, and agenda of the next meeting to all members of the faculty, the Treasurer, the Registrar, the Director of the News Bureau, the Secretary of the Board of Trustees, the Secretary of the Student Senate, and the President of the student body.

7. The Agenda Committee shall be composed of the Secretary, who shall serve as Chairman, and two additional members of the Faculty Council. The functions of the Agenda Committee shall be as follows:

a. The agenda of the Faculty Council shall be determined by the Agenda Committee. All communications, including those from individual faculty members, requesting Faculty Council action, study, or advice shall be placed on the agenda or be referred to an appropriate body or committee for consideration. In the latter case, the Agenda Committee shall report its action to the Faculty Council which may, with the concurrence of a simple majority vote, request the Agenda Committee to place a referred item on the agenda.

b. The Agenda Committee shall prepare the final draft of any new legislation approved by the Faculty Council.

c. Emergency items should be referred to the Agenda Committee before being given precedence on the agenda.

d. The Agenda Committee at any time may request the Faculty Council to determine the implementation and the effect of any past legislation or action, or to reconsider any past legislation.

e. On request by a faculty member prior to a meeting he shall be invited by the Agenda Committee to participate without vote in the meeting, subject, however, to the exercise by the Agenda Committee of its responsibility for taking varied points of view into account and for the efficient management of the Council's time. On its own initiative, the Agenda Committee may invite any nonmember to participate in the discussion of matters of particular interest to him. Faculty members, students, and members of the University Staff are welcome to attend meetings of the Council, subject only to the adequacy of available space. The Agenda Committee may invite the general faculty to participate in special meetings of the Council to be governed by ad hoc rules adopted by the Agenda Committee.

8. The Chairman and Vice-Chairman of the Staff Council shall sit as ex officio non-voting members of the Faculty Council.

9. Not later than the second meeting each fall, the Council shall choose its standing committees on the basis of nominations submitted by the Nominations Committee provided for in paragraph 5. Each committee shall choose its chairman and may enlist other faculty members to serve on subcommittees of its creation.

10. The presiding officer may speak "off the record" at any meeting of the Faculty Council. The President, or Chancellor, shall designate a presiding officer to serve in his absence.
11. Any member of the Faculty Council may appoint an alternate to serve in his place at any meeting. Any elected member of the Faculty Council who is to be absent for a semester or longer shall be replaced on the Faculty Council for the duration of his absence by the nominee who was next in order of votes in the same election and who is from the same election unit.

(Faculty Council approval)

University Faculty Committees

There is a wide range of faculty participation in the governance of the University through University-wide committees, the memberships of which are appointed by University administrative officers or by the University Faculty Council. Extensive use is also made of faculty committees at the campus, college, school, and division levels, and within individual departments. Both standing and ad hoc committees function. Specific information on committee composition can be obtained from the Office of Institutional Research.

The President's Council on the Humanities and the President's Council on the Social Sciences

These Councils, established by the President in 1973, have been charged with the following responsibilities:

a) Assist the President and the Office of Research and Advanced Studies in the two-way liaison between Indiana University and foundations as well as the Federal government for the purpose of tapping new and existing sources of support for research in the social sciences and humanities and assist ORAS in keeping abreast of key legislation and changes in administrative procedures.
b) Advise the University Faculty Council, the Administrative Committee, and/or the Board of Trustees regarding formulation of general University policy on research in the social sciences and humanities.
c) Suggest better ways of coordinating research priorities established by local campus committees with University-wide research objectives.
d) Advise the University Research and Development Committee, *on request*, regarding major grant requests which come to it for funding.

In addition, one of the significant functions of the Councils is to evaluate and fund requests for small grants in the humanities and social sciences from faculty members and professional librarians. The grants will serve as seed money for the generation of larger research support. Highest priorities will be given to those requests which serve more than one campus of the Indiana University system, are interdisciplinary and career-oriented in character, or will help the University meet its affirmative action obligations.

Science Advisory Committee

The Science Advisory Committee was established in 1963 for the purpose of providing a council to (a) give advice, on request, to the Aerospace Research Applications Center, to the Indiana University Foundation, and to the administration of the University; (b) represent the views of scientists to the University and Foundation administrations; and (c) develop new ideas in education and research in the sciences. Committee members are drawn from each of the campuses. The chairman is the Vice President and Dean, Research and Advanced Studies.

FORMAL CEREMONIES

Most formal ceremonies are now campus specific, although the President participates in these whenever possible. An exception is Founders Day, which occurs in the spring of each year.

Faculty participation in Founders Day is urgently desired. Notices detailing arrangements for such participation are sent out well in advance.

II. The Academic Appointee and the University

ACADEMIC STATUS

Full-Time Faculty

Full-time faculty are appointed in the ranks of Professor, Associate Professor, Assistant Professor and Instructor, except in the cases of distinguished ranks noted on page 59. The rank of the initial appointment is determined by such factors as teaching and research experience, public service, and degrees held. While other academic ranks and titles exist, only full-time service in the above mentioned faculty ranks counts in reckoning (1) eligibility for sabbatical leaves and (2) the permissible number of years of probationary appointment, prior to the tenure decision.

Appointees to deanships and other administrative positions at Indiana University retain academic titles held at Indiana University at the time of their appointment to administrative office, unless otherwise specifically stipulated.

(Board of Trustees action; Faculty Council action; current practice)

Full-Time Librarians

A system of ranks analogous to and modeled on faculty ranks obtains for full-time professional librarians. These are: Librarian, Associate Librarian, Assistant Librarian, and Affiliate Librarian. The status of Librarians holding titles under this rank system is closely analogous to that of regular full-time faculty. All professional librarians appointed after July 1, 1972, are to be appointed at one of the above mentioned library ranks. Professional librarians appointed prior to July 1, 1972, and serving under such appointment on that date have an option to retain their earlier status and librarian classification, or to elect to be assigned to one of the above mentioned library ranks.

(Board of Trustees action)

Other Academic Positions

Appointments to other academic positions are made as needs arise. Neither full- nor part-time service in such positions counts as part of a pre-tenure probationary period. (See Tenure, pp. 23-29.) Fringe benefits of appointees to other academic positions may well differ from those of full-time faculty, and are explained to each individual at the time of appointment. Such other academic appointments include:

Visiting Faculty
Visitors are appointed for definite terms at a visiting rank appropriate to their past experience.

Adjunct Faculty
This title is used where the status conferred by such a title is deemed important and in a variety of circumstances ranging from those where the appointees are contributing their services gratis, for a limited period and on a part-time basis, to other cases in which the appointees are compensated for part of their time.

Lecturers
The duties of a Lecturer are usually closely analogous to those of a faculty member. In ordinary cases a Lecturer will lack some of the qualifications for faculty status. At the beginning of the semester following completion of all qualifications such Lecturers are transferred to faculty rank. All appointees in Lecturer status are reappointed on an annual basis.

Part-Time Lecturers and Part-Time Faculty
Individuals holding these positions devote only part of their time to the duties of a lecturer or faculty member. They may also be gainfully employed in other activities, either with Indiana University or elsewhere. Thus a *full-time employee* of Indiana University may still be a *part-time faculty member.* Appointment as part-time faculty member or lecturer is on an annual, an academic year, or a semester basis.

Research Associates
Such nonstudent appointments are for limited periods to work on specific (often externally funded) research projects.

Associate Instructors
This title is used for graduate students who are part-time appointees and who engage in activities typical of a teacher. An Associate Instructor is responsible for assigning grades for at least a portion of a course, and has direct contact with students. Typical activities include, but are not necessarily limited to, lecturing, tutoring, and laboratory instruction.

Other Student Academic Personnel
Students hold positions as Research Assistants, as Undergraduate Assistants, as Graduate Assistants, and as Faculty Assistants. All student appointments are part-time and temporary.

Additional Academic Personnel

While the above categories cover most academic appointees they are not exhaustive. Certain University officers who do not hold faculty ranks and interns in various programs are academic appointees. The above listing seeks simply to identify the major categories of appointees who participate in and help to perform the academic mission of the University.

(Current administrative practice)

APPOINTMENT POLICIES

Equal Employment Opportunity

It has long been the policy of Indiana University to offer equal opportunity in all matters relating to employment, whether as faculty or otherwise, without regard to race, creed, color, national origin, age, or sex. Two resolutions of the Board of Trustees (July 1, 1967, and November 21, 1969) require administrative officers of the University to give effect to the policy of equal employment opportunity. Another resolution of the Board, adopted October 16, 1970, directs the establishment of an Affirmative Action Program to ensure compliance with recognized standards for equal employment opportunity. The Vice President and Dean for Academic Affairs is specifically charged with securing compliance in the area of academic employment. Questions or complaints about the possible absence of equal employment opportunity in academic areas are to be referred to the Vice President and Dean for Academic Affairs if satisfactory resolution of such issues is not achieved through the mechanisms available on the various campuses of the University. The Vice President for Finance and Treasurer is charged with securing compliance for non-academic employees. *(Board of Trustees action)*

Employment—Nepotism

1. General Provisions
   a. No person shall be recommended for employment on an appointment basis who is related by blood or marriage to a member of the State Board of Education, or to a member of the Board of Trustees of Indiana University.
   b. No person, including full-time, part-time, or temporary employee, may be employed in or transferred to a position within the scope of immediate supervision or authority of a member of one's own family.
   c. The degrees of relationship included in the above restrictions are as follows:

      By blood: Parent, child, grandparent, grandchild, brother, sister, uncle, aunt, nephew, niece, first cousin.

      By marriage: Husband, wife, stepparent, stepchild, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, half-sister, half-brother, uncle, aunt, nephew, niece.

2. In the event of marriage between University appointees creating a relationship not in accord with the provisions of paragraph 1.b., one of the persons affected must give up that position by the end of the fiscal year or within six months from the date the relationship was established, whichever is the greater period, but may be re-employed in another position compatible with the provisions of paragraph 1.b.
3. Stipends to students as scholarships, fellowships, or assistantships shall not constitute employment within the provisions of this regulation.
4. Whenever a person recommending, or considering the acceptance of, an appointment to a staff, faculty, or other position has reason to believe that a relationship by blood or marriage of the kind described exists or may exist, he should report the facts to the Office of University Counsel so that a determination may be made prior to the actual appointment.

(Board of Trustees action)

Appropriate Duties of Employees ("Ghost Employees")

Indiana law prohibits the hiring by any public institution of any person who is assigned duties not related to the operation of such institution when such person is paid by public funds. No person is knowingly to receive public funds in compensation for duties not related to the operation of the public employer. Penalties are provided by law which may fall *both* on the employee and upon the authority who appoints such an employee or permits such payment for duties not related to the public employer.

Any situation which seems to be proscribed by the law, as stated above, should be brought to the attention of the Office of University Counsel so that a determination may be made and appropriate action may be recommended.

(State law)

RESPONSIBILITIES AND PRIVILEGES OF ACADEMIC APPOINTMENT

Faculty Tenure

The Principle of Faculty Tenure

The principle of faculty tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty member. In order to meet its responsibilities to its students and to society, the University must attract and retain a faculty of outstanding quality. To that end the University safeguards academic freedom and economic security by its policy of faculty tenure. The faculty members, on their part, are obligated to maintain high standards of teaching, research, service, and professional conduct.

(Board of Trustees action; Faculty Council action)

Probationary Period

Subject to the provisions which follow, an individual appointed to the faculty (as defined in Article 1, section 2 of the Faculty Constitution) for full-time service shall have tenure after a probationary period of not more than seven

years. This period may include full-time service with faculty rank at other institutions, if similar service in Indiana University would have been countable toward tenure. In the case of persons with three or more years of countable service in other institutions, a probationary period of not more than four years may be required, if agreed upon in writing at the time of appointment. Under administrative policies and practices at Indiana University, where such a written agreement reduced a faculty member's probationary period to less than seven years, this agreement is binding on both parties. The length of the probationary period resulting from any such reduction cannot at a later date be extended to suit the convenience of a faculty member or his academic unit. Since the acquisition of tenure represents a major change in a faculty member's status, the faculty member to whom tenure is being granted shall be so informed in writing.

Tenure may be conferred at the time of initial appointment or after a shorter period than specified above. When a probationary period expires during an academic year, the probationary period will be extended to the end of that year.

(Board of Trustees action; Faculty Council action)

Procedures

Recommendations for advancement to tenured status are prepared by chairmen or other appropriate administrative officers. Such recommendations are prepared early in the academic year which counts as the sixth year for purposes of reckoning years of service towards tenure. (The actual determination of the appropriate year includes credit for service at other institutions which may have been negotiated at the time of the first appointment.)

Recommendations shall be submitted through the academic administration of each campus. Administrative structure varies somewhat from campus to campus. For specific information on the routing of such recommendations, see campus-specific Handbooks. Academic deans and chancellors, with the advice of faculty committees, are responsible for submitting tenure recommendations to the Vice President and Dean for Academic Affairs and the President. It shall be the responsibility of the President to submit to the Board of Trustees the names of those recommended for advancement to tenured status.

(Administrative practice)

Policies Governing Reappointment and Non-Reappointment during Probationary Appointment Period

1. Notice of Terms of Initial Appointment
   a. Before a faculty member is appointed to faculty rank in the University, the initial salary, rank, years in faculty rank elsewhere countable towards tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the faculty member.

b. The faculty member shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the Handbook. Special procedures customarily employed in the department, school, program, or division of the University in which the faculty member is appointed shall be specified clearly.

c. The faculty member shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure, are agreed to.

2. Annual Review

a. During the period of probationary appointment, the faculty member shall receive an annual review of professional performance. At that time the faculty member shall be informed, customarily by the principal administrative officer of the department, school, program, or division of the University in which the individual holds his or her appointment, of all matters relevant to eligibility for reappointment and the award of tenure.

b. The faculty member shall cooperate with the principal administrative officer to insure that the file on which such a review is based contains all relevant materials. A written statement summarizing the substance of each annual review shall be kept in the file, and a copy given to the faculty member.

3. Notice Requirements

a. Before any decision is made within a department, school, program, or division about whether to recommend reappointment or the award of tenure, the faculty member shall be notified that he or she is under such consideration and that within a properly specified and reasonable period of time the faculty member may submit materials which it is believed will be relevant to a consideration of his or her professional qualifications.

b. The faculty member shall be notified as soon as possible of any decision by a department, school, program, or division not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her.

c. At the time that a faculty member is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Procedures for the Non-Reappointment of Non-Tenured Faculty," and the Academic Handbook statement on criteria for tenure, to insure that he or she be fully informed of his or her rights.

4. Review of Decision of Non-Reappointment

a. Upon receiving notice of a negative recommendation or decision on reappointment or tenure, the first recourse of the faculty member shall

be to request an oral explanation from his or her principal administrative officer.

b. Upon written request, submitted within thirty days of notification of non-reappointment to the appropriate administrative officer, that officer shall provide the faculty member within a reasonable period of time with a written statement of the reasons for non-reappointment.

c. The statement of reasons should reflect careful consideration of the qualifications of the faculty member in terms of the professional standards and needs of his or her department, school, program, or division, or of the University.

d. The faculty member who believes that a recommendation or a decision that he or she not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.

e. If the faculty member is dissatisfied with the result of a request for reconsideration he or she may petition the Faculty Board of Review for a review of the procedures employed in the decision not to recommend reappointment. The petition should be initiated within a reasonable period following the receipt by the faculty member of the written statement of the reasons for non-reappointment.

f. Before undertaking a review, the Board of Review may seek to bring about a settlement of the issue satisfactory to both parties. In the course of the review, the Board shall request reconsideration by the department, school, program, or division in which the faculty member holds an appointment or the offices of the Dean of the Faculties, campus chancellor, and other appropriate administrative officers who were involved in the decision, when it finds that inadequate consideration was given the faculty member's qualifications, or that specified procedures were not observed, or that erroneous information substantially affected the decision. The Board of Review shall provide copies of its report and recommendations to the faculty member, the principal administrative officer of the department, school, program, or division in which the faculty member holds an appointment, the Dean of the Faculties, the campus Chancellor, and other appropriate administrative officers.

g. Whenever during his or her appointment a faculty member discovers that these provisions have not been followed, he or she may request, as soon as reasonably possible, that his or her department, school, program, or division of the University accord him or her the full benefit of the procedures. If his or her request is not granted, the faculty member may petition the Faculty Board of Review for a review of the procedures followed in his or her case.

h. Upon finding by the Board of Review, accepted by the Chancellor of the campus in question, that the faculty member did not enjoy full

benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary to avoid prejudicing the rights of the faculty member, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the faculty member.

i. Recourse by a faculty member to the various rights of appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment as specified elsewhere in the Handbook. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.

j. In light of the legitimate educational interests of students, faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected faculty member to observe promptly and fully the above procedures.

(Board of Trustees action; Faculty Council action)

Duration of Probationary Appointments

Appointments and reappointments during a probationary period shall be limited to one year for instructors. A faculty member with rank above instructor may be appointed for not more than three years within the probationary period.

(Board of Trustees action; Faculty Council action)

Official Notice of Non-Reappointment

For Faculty serving full-time, notice of non-reappointment shall be given in writing in accordance with the following standards:

1. Not later than February 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than November 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twleve months before the expiration of an appointment after two or more years in the institution.

The entitlement to official notice of non-reappointment and the dates stated in 1-3 above apply also to full-time lecturers.

(Board of Trustees action; Faculty Council action)

Dismissal from the Faculty

Dismissal shall mean the involuntary termination of a tenured faculty member's appointment prior to retirement or resignation, or the termination of the appointment of a non-tenured faculty member prior to the expiration

of his term of appointment. *Dismissal* is thus to be distinguished from the *non-reappointment* of a probationary faculty member. Dismissal shall occur only for reason of (a) incompetence, (b) serious personal or professional misconduct, or (c) extraordinary financial exigencies of the University. No faculty member shall be dismissed unless reasonable efforts have been made in private conferences between the faculty member and the appropriate administrative officers to resolve questions of fitness or of the specified financial exigency. If no resolution is attained, the faculty member to be dismissed shall be notified of dismissal in writing by the Chancellor or President one year before the date the dismissal is to become effective, except that a faculty member deemed guilty of serious personal misconduct may be dismissed upon shorter notice, but not on less than ten days' notice. Upon receipt of the dismissal notification, a faculty member must be accorded the opportunity for a hearing. A statement with reasonable particularity of the grounds proposed for his dismissal shall be available in accordance with the provisions of the Faculty Constitution. A faculty member shall be suspended during the pendency of dismissal proceedings only if immediate harm to himself, herself, or others is threatened by continuance. Any such suspension shall be with pay.

Geographic Limitation of Tenure

All of the foregoing principles, policies, and procedures relating to tenure are applicable in all University schools and departments on all campuses. If a faculty member's appointment is at a specific, geographically localized campus at the time he acquires tenure, his tenure shall be specific to that campus. Any subsequent changes affecting the geographic locus of his tenured appointment shall be agreed to in writing by the University and the tenured faculty member. The three major divisions of the University (Bloomington campus, Indiana University-Purdue University at Indianapolis, and the Regional Campus Administration) provide appropriate structures and administer the necessary procedures for the implementation of general University tenure policies.

In any case in which the position of a faculty member with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make every reasonable effort to place the faculty member in a comparable position elsewhere in the University or in another institution.

(Board of Trustees action; Faculty Council action)

Criteria for Tenure

After the appropriate probationary period, tenure shall be granted to those faculty members whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The criteria for tenure and the criteria for promotion (see pp. 57-59) are similar, but not identical. (See 4c under "Policies Governing Reappointment and Non-Reappointment during Probationary Appointment Period.") Tenure will generally not be conferred unless

the faculty member achieves, or gives strong promise of achieving, promotion in rank within the University.

(Board of Trustees action; Faculty Council action)

Tenure for Professional Librarians

Librarians whose appointments are within the structure of the system of library ranks described on p. 20, qualify for and acquire *library* tenure in a fashion which is substantially identical to that for *faculty* tenure. The same principles on geographic limitation apply. Recommendations for tenure shall be processed as follows:

1. Recommendation prepared by supervisor of person under consideration and forwarded to the head of the appropriate library division for action;
2. Recommendations of the head of each library division are forwarded to the appropriate Chancellor for review and recommended action;
3. Chancellors' recommendations are forwarded to the Office of the Vice President and Dean for Academic Affairs for review by an all-University librarians tenure committee appointed by the President in consultation with the Dean of University Libraries;
4. Recommendations of the all-University librarians tenure committee are transmitted to the Office of the Vice President and Dean for Academic Affairs for review by the Dean of University Libraries and for presentation to the Board of Trustees.

(Board of Trustees action)

Late Recruitment and Resignation

Indiana University adheres to and abides by the Policy Guidelines of the Association of American Colleges with respect to recruitment of new faculty from other institutions. (These guidelines, approved by the AAUP, appear on pp. 52-53 of *AAUP Policy Documents and Reports,* 1971 Edition.) The general tendency of these guidelines is to encourage recruitment by institutions early in the academic year, and to urge faculty members considering resignation to make their decisions as early as is feasible. Prompt notice of resignation should always be given. In no case should a notice of resignation be submitted later than one month before the end of an academic year. When negotiations which may lead to a resignation are in progress, a faculty member is expected, wherever feasible, to keep his or her chairman or dean informed of the progress of such negotiations.

(Administrative practice)

Policy on Academic Freedom

Academic freedom, accompanied by responsibility, attaches to all aspects of a teacher's professional conduct.

The teacher shall have full freedom of investigation, subject to adequate fulfillment of other academic duties. No limitation shall be placed upon the teacher's freedom of exposition of the subject in the classroom or on the

expression of it outside. The teacher should not subject students to discussion in the classroom of topics irrelevant to the content of the course. In public utterances the teacher shall be free of institutional control, but when the teacher writes or speaks as a citizen, an endeavor should be made to avoid appearing as a spokesman for the University. The teacher should recognize that a professional position in the community involves the obligation to be accurate, to exercise appropriate restraint, and to show respect for the right of others to express their views.

Cases involving alleged impairment of academic freedom shall be referred to the Faculty Boards of Review on the various campuses and dealt with according to established procedure.

(Board of Trustees action)

Code of Academic Ethics

(This code was adopted by the University Faculty Council on November 3, 1970.)

Preamble

The central functions of an academic community are learning, teaching, and scholarship. They must be characterized by reasoned discourse, intellectual honesty, mutual respect, and openness to constructive change. By accepting membership in this community, an individual neither surrenders rights nor escapes fundamental responsibilities as a citizen, but acquires additional rights as well as responsibilities to the entire University community. They do not require the individual to be passive and silent. They do require recognition of how easily an academic community can be violated.

Introduction

Applicability. The provisions of this Code apply to persons whose service to the University includes teaching, scholarship, and academic administration. Such persons are referred to in the Code as "Academic Personnel." References in the Code to "Faculty" include tenured members of the faculty and persons whose service to the University may lead to tenure.

Organization. This Code contains two major sections: first, a statement of rights and responsibilities; and second, a statement of enforcement procedures. The first section is divided into three subsections. Of these, the first subsection, in five parts, is a general statement of the rights and responsibilities of Academic Personnel adapted from the "Statement of Professional Ethics" adopted as policy by the American Association of University Professors in April, 1966. The second subsection consists of representative responsibilities assumed with academic employment at Indiana University. The third subsection consists of the Rules of Conduct outlined in the prevailing Student Conduct Code. It is assumed that academic personnel will accept without reservation those rules of conduct which are generally applicable within the University community and which are expressed at the moment within the student code.

The second section is also divided into three subsections. The first subsection deals with initiation of complaints, the second with appropriate administrative actions, and the third with reviews of administrative action.

A. *Rights and Responsibilities*

I. General Statement

Scholarship. A scholar recognizes a primary responsibility to seek and to state the truth without bias. Striving to improve scholarly competence; continuing always to keep abreast of knowledge of his or her discipline; the scholar exercises critical self-discipline and judgment in using, extending, and transmitting knowledge, and practices intellectual honesty. Although subsidiary interests may be followed, these must never seriously hamper or compromise freedom of inquiry.

Teaching. A teacher encourages the pursuit of learning in students, holding before them the best scholarly standards of the discipline. Students are respected as individuals; the teacher seeks to establish a relationship of mutual trust, and adheres to the proper role as intellectual guide and counselor. The teacher makes every effort to foster honest academic conduct and to assure that the evaluation of students' scholastic performance reflects their true achievement, with reference to criteria appropriate to the field of study. Any exploitation of students for private advantage is rejected and their significant assistance is acknowledged. The teacher protects their academic freedom and serves as an example of this principle by assuring that each student and colleague is free to voice opinions openly and to exchange ideas free from interference.

Relations with Colleagues. As colleagues, academic personnel have obligations that derive from common membership in the community of scholars. Such persons respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of responsibility for the governance of the University.

Relation to the University. Indiana University is committed to the concept of academic freedom and recognizes that such freedom, accompanied by responsibility, attaches to all aspects of a teacher's professional conduct. Within this context, each person observes the regulations of the University, and maintains the right to criticize and to seek revision and reform. A teacher determines the amount and character of work done outside the University with due regard to paramount responsibilities within it. When considering interruption or termination of service, the teacher recognizes the effect of the decision upon the program of the University and gives due notice. Above all, he strives to be an effective teacher, scholar or administrator.

Relation to the Community. As members of a community, academic appointees have the rights and obligations of any citizen. They should measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to the University. When they speak or write

as citizens, they are free from institutional censorship or discipline. At the same time, their positions as members of a university and of a learned profession impose special responsibilities. When they speak or act as private persons, they will make it clear that they are not speaking or acting for the University. They will also remember that the public may judge their profession and the University by their utterances and conduct, and they will take pains to be accurate and to exercise restraint.

II. Specific Responsibilities*

In addition to the preceding general statements of ethical performance within the academic profession, there are specific responsibilities which devolve upon the academic appointee who accepts a position at Indiana University. Observance of such specific responsibilities as the following is also a component of academic ethics.

1. A teacher will maintain a clear connection between the advance description and the conduct and content of each course presented to ensure efficient subject selection by students.
2. A teacher will clearly state the course goals and will inform students of testing and grading systems; moreover, these systems should be intellectually justifiable and consistent with the rules and regulations of the academic division.
3. A teacher will plan and regulate class time with an awareness of its value for every student and will meet classes regularly.
4. A teacher will remain available to students and will announce and keep liberal office hours at hours convenient to students.
5. A teacher will strive to develop among students respect for others and their opinions by demonstrating his or her own respect for each student as an individual.
6. A teacher will strive to generate a proper respect for an understanding of academic freedom by students. At the same time, a teacher will emphasize high standards and strive to protect students from irrelevant and trivial interruptions or diversions.
7. Since letters of evaluation written by a teacher may be uniquely important documents in both the academic and post-university life of a student, each teacher will strive to make such letters both candid and fair.
8. Academic personnel will strive to protect not only their own right to freedom of inquiry, teaching, and expression but also their colleagues' right to the same freedoms.
9. While in the classroom, academic personnel should refrain from adverse personal comments about their colleagues. At all times, academic personnel should exercise restraint and discretion in comments about other courses or divisions in the University.

*Some responsibilities listed in this document are more explicitly stated elsewhere. More explicit statements should be considered applicable, but where statements appear in conflict, the substantive statements in this document should take precedence.

10. Constructive criticism of colleagues is sometimes necessary in the interest of the individual criticized or the entire University community. To be constructive, however, such criticism should be channeled, in confidence, toward those persons (preferably the individual concerned, but also academic superiors, faculty committees, or administrative officers) who have the power to correct or influence conduct in a constructive way. Indiscriminate criticism or gossip about colleagues is condemned.
11. Each academic person retains the right to criticize and to seek to remedy, by appropriate means, regulations and policies of the University. Among means deemed inappropriate are: acts of physical violence against members or guests of the University community; acts which interfere with academic freedom, freedom of speech, or freedom of movement; and acts of destruction of University property. It is equally inappropriate to advise others to commit such acts.
12. In criticizing the University, the academic person should be aware of ameliorative procedures which exist within the University and should use these procedures in preference to conducting public criticisms of the institution or any of its divisions.
13. Each academic person will insure that outside commitments do not interfere in terms of time, energy, or conflict of interest with obligations to the University. As a safeguard against such interference, each will:
    a. report to an appropriate authority plans to engage in gainful activities of an extensive, recurring, or continuing nature; and
    b. notify an appropriate authority of any invitation to serve as advisory or consultant to an agency granting money to the University.
14. He or she will give adequate notice of interruption or termination of service. In order that instructional programs will not be interrupted, before leaving, the academic person will:
    a. complete all normal duties;
    b. provide complete records of grades and similar data to departmental chairmen; and
    c. provide properly for incomplete class and thesis work.
15. He or she will work with colleagues individually and collectively toward furthering both personal and group interests so long as such cooperation does not require violation of intellectual and moral integrity.
16. Each academic person will accept a share of the obligation for helping the University function smoothly as a living and vigorous organization. Toward achieving this goal, each will serve on committees, accept a reasonable burden of administrative duties, and work cooperatively with administrative officers of the University in order to further all the legitimate goals of the institution.

III. Responsibilities as University Citizens

In retaining the rights to speak and act as citizens of the communities in which they dwell, academic personnel must assume as well the responsibilities which

are incumbent upon that citizenship. Academic personnel, therefore, accept and adopt the provisions of the Student Conduct Code (Part I, Section I.1) pertaining to social behavior, which is printed below.

Misconduct for which students are subject to penalties, including suspension or expulsion from the University, includes the commission or aiding the commission of the following:

(1) Conduct that is made a crime by the criminal law of the state of Indiana or of the United States of America and that takes place on University property or in the course of a University activity.

(2) Intentional damage to or destruction of University property or of property on University premises belonging to others.

(3) Occupation of all or part of any University building, obstructing or coercing any persons, or threats of violence to persons for the purpose or with the effect of:
(i) hampering or preventing the discharge of any University function;
(ii) limiting the freedom of anyone to go about in a lawful manner; or
(iii) compelling or preventing specific activities related to the University.

(4) Intentional interference with any class, other University function, or campus activity by means of noise, missiles, or other form of disturbance or disruption.

(5) Intentionally false reporting of a fire or of a bomb or other explosive having been placed in any University building or elsewhere on University property.

(6) Refusal to vacate a building, street, sidewalk, driveway, or facility of the University when directed to do so by an authorized officer of the University having just cause to order the vacation.

(7) Possession of firearms or other dangerous weapons on University property contrary to law; possession or display of any firearm on University property frequented by the public, except in the course of an authorized activity; or possession of weapons in residence halls on University property in violation of residence halls rules.

(8) Intentional possession on University property of a dangerous article or substance as a potential weapon, or of any article or substance calculated to injure or discomfort any person without his consent.

(9) Possession or use of alcoholic beverages on any University property contrary to law; the possession or use of alcoholic beverages in any undergraduate residence supervised by the University; or the use or conspicuous possession of alcoholic beverages in or on any property of the University frequented by the public.

(10) Falsifying information submitted to any University office or agency, or offering a false statement in any University disciplinary proceeding.

(11) Rioting, or aiding, abetting, encouraging, or participating in a riot or

rioting, or inciting a riot, when the conduct occurs on University property or in the course of a University activity.

(12) Acting with violence, or aiding, abetting, encouraging, or participating in the commission of any act of violence, when the conduct takes place on University property or in the course of a University activity.

(13) Using, or attempting to use, University property in a manner inconsistent with its designated purpose.

B. Enforcement Procedures

I. Initiation of Complaints

Any concerned person may initiate complaints about alleged violations of this code. Such complaints should be brought to the attention of an appropriate chairman or dean, or to the appropriate Dean of the Faculties or his deputy; the Dean of the Faculties shall provide for confidential representations regarding such violations.

II. Administrative Action on Violations of Academic Ethics

The line of administrative action in cases of alleged violation of academic ethics shall be the chairman; the academic dean; the appropriate Dean of the Faculties; the appropriate Chancellor; a Vice President, where appropriate; and the President. Subject to the substantive standards of University tenure policy and the procedural safeguards of the faculty institutions, sanctions appropriate to the offense should be applied by the academic administrators. Possible sanctions include the following: reprimand, consideration in establishing annual salary, consideration in promotion decisions, consideration in tenure decisions, retention of salary, termination of employment, and immediate dismissal.

III. Review of Administrative Action

Academic appointees affected by administrative action taken against them on grounds of violation of the Code of Academic Ethics, whether or not the action resulted from proceedings provided in this Code, shall have such rights as are provided by the rules governing appeals to the Faculty Board of Review (or to an Associate Instructor Board of Review) of the appropriate campus. Appointees also have the rights of hearing and appeal provided by any other procedure of the University for the review of administrative action.

(Board of Trustees action; Faculty Council action)

Political Activities of Academic Personnel

Policy

The University recognizes the right of academic appointees to engage in political activities beyond those normally entailed in voting and participating in routine community, state, and national programs, provided that the participation does not prevent the full discharge of the faculty member's academic responsibilities.

Principles and Procedures to be Observed

1. Academic personnel of Indiana University shall be free to participate in political activities on the national, state, or local level such as running for political office, managing political campaigns, and assuming leadership roles in political organizations PROVIDING THAT the participation does not prevent full discharge of his academic obligations to the University. If such participation does prevent full discharge, the individual will be required to request leave of absence for the period of the activity.
2. In any such activities the academic appointee must make clear that he or she is acting as a private citizen and is in no way representing the University.
3. The academic appointee who proposes to engage in political activities shall be required to inform his or her departmental chairman, the school dean, and the Dean of the Faculties.
4. Should a disagreement arise between the faculty member and any of the above administrative officers regarding the faculty member's ability to discharge academically related obligations, the faculty member shall be entitled to appeal to the Faculty Board of Review, which shall make final decision. Other academic appointees have other means of appeal.
5. In the case of staff members the same policy and rules shall apply with respect to the responsibilities which the staff member has in connection with his or her position, but shall be required to inform his or her supervisor, the Personnel Director, the Business Manager or other appropriate campus official, and the Vice President for Finance and Treasurer of his or her intentions. Any appeal shall be subject to the established grievance procedures.

Political Meetings

University facilities shall not be used for political rallies or for campaign purposes that would further the interests of the candidate or candidates of any one political party, except that the University may from time to time invite political candidates to speak at University convocations. In such cases, it is the policy of the University to extend invitations to the candidates of the different major parties on an equal basis. This rule is not interpreted as prohibiting the meeting of student political groups which are open to attendance by students, faculty, and other members of Indiana University but which are not open to the general public.

(Board of Trustees action)

Conflict of Interest

The following statement of conflict situations in government-sponsored work has been prepared jointly by the Council of American Association of University Professors and the American Council on Education and is subscribed to by Indiana University. It is meant to be a general policy statement only:

Favoring of Outside Interests

When a University staff member (administrator, faculty member, professional

staff member, or employee) undertaking or engaging in government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between the staff members' government-sponsored University research obligations and their outside interests and other obligations. Situations in or from which conflicts of interest may arise are as follows:

1. Undertaking or orientation of the staff member's University research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the University and to the sponsoring agency.
2. Purchase of major equipment, instruments, materials, or other items for University research from the private firm in which the staff member has the interest without disclosure of such interest.
3. Transmission to the private firm or other use for personal gain of government-sponsored work products, results, materials, records, or information that are not made generally available. (This would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of government-sponsored research.)
4. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's government-sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements.)
5. Negotiation or influence upon the negotiation of contracts relating to the staff member's government-sponsored research between the University and private organizations with which he or she has consulting or other significant relationships.
6. Acceptance of gratuities or special favors from private organizations with which the University does or may conduct business in connection with a government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

Distribution of Effort

There are competing demands on the energies of a faculty member (for example, research, teaching, committee work, outside consulting). The way in which effort is divided among these various functions does not raise ethical question (under this policy) unless the government agency supporting the research is misled in its understanding of the amount of intellectual effort actually being devoted to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions performed are closely interrelated and do not conform to any meaningful division of a standard work

week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of effort to the government-sponsored research, or if the staff member agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of involvement is to be expected.

Consulting for Government Agencies or their Contractors

When the staff member engaged in government-sponsored research also serves as a consultant to a Federal agency, his or her conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the President's memorandum of May 2, 1963, Preventing Conflicts of Interest on the Part of Special Government Employees. When the staff member consults for one or more government contractors, or prospective contractors, in the same technical field as the research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on the staff member's other interests. In undertaking and performing consulting services, full disclosure should be made of such interests to the University and to the contractor insofar as they may appear to relate to the work at the University or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the University in an evaluation for the government agency or its contractor of some technical aspects of the work of another organization with which a consulting or employment relationship exists or in which the staff member has a significant financial interest, or in an evaluation of a competitor to such other organization.

Annual Reports of the Faculty

All faculty members at Indiana University are required to report annually on their professional activities and accomplishments during the preceding year. Such reports shall cover activities and accomplishments in the areas of instructional activity, scholarship and creative work, and University and public service. Reports need not be limited to these areas, however, and additional information and comment are often sought or volunteered.

It is the responsibility of the three Chancellors to devise the format, routing, and timing of these Faculty Annual Reports. If it is especially desired that a report, or some aspect of a report, reach an officer of the campus or of the central university administration, this fact and the officer in question should be prominently indicated on the report or on the relevant section thereof.

(Administrative practice)

GENERAL POLICIES AFFECTING WORK AND CONDITIONS

Patent Policy

Preamble

The University, by its very nature, is in the forefront in the generation of new ideas and has an interest in the widest possible distribution to the general public of the benefits which may be derived from resulting inventions and discoveries. For this reason, the University also has an interest in the patenting of inventions, in order to insure that they will be properly licensed and developed to the point of availability. The University also deserves a share of any royalties received in order to meet the costs of the patent program and to aid in carrying out its functions in support of education and research.

Inventors connected with the University need an incentive to disclose an invention and to put in time and effort in adapting it for practical application. Sharing of the income from an invention is a practical way to provide such incentive which can best be accomplished by allowing the University, or the Indiana University Foundation, to retain patent rights to inventions developed under contractual support.

Few inventions at the University are commercially practical in the form in which they are conceived or reduced to use in the University. Most are in fact unanticipated by-products of research effort. Further investment is usually necessary to render the invention commercially attractive. Investment by outside organizations may be protected by the availability of limited exclusive use of patents. By University or Foundation retention of patent rights, patent applications may be filed promptly, and negotiations commenced with prospective licensees. Holding patent rights, the University, or the Indiana University Foundation acting for it, can enter into agreements for the testing of ideas with some protection for the testing firm's investment before it is clear whether or not there is a patentable invention. For example, in the drug field such protection encourages the screening of new compounds, and leads to discoveries and developments to the ultimate benefit of the public.

University Policy

Where any resources, facilities, faculty, staff, or students of Indiana University are involved in the development of inventions the following shall apply:

1. Indiana University shall have the sole right to determine the disposition of inventions or other developments by faculty or staff members, students, or other persons resulting from programs supported wholly or in part by research funds administered by the University. In the judgment of the University, subject to any restrictions which may be imposed by contract with a sponsoring agency, such disposition shall be in the best interest of the University, the inventors, and the public. The University will seek the advice of the University Committee on Inventions and Patents in cases not controlled by contract.
2. The University will exercise its right to acquire a patent only when its basic

aims will be furthered by such action. In making this determination full consideration will be given to the aim of rewarding inventors and to the question of whether commercial exploitation will best be accomplished by such patent acquisition. In other cases, the rights will be waived to the inventor, the government, or other sponsoring agency, as determined by the University. Where the invention is waived to the inventor, provisions shall be made for any rights of the government or other sponsoring agency. In some instances, the University may not be in a position to grant a request that the inventor acquire personal ownership of the invention.

3. When the University makes the determination to exercise its right to acquire a patent, it will endeavor to have patent applications promptly executed and filed, to search out and commence negotiations with prospective licensees, and to make appropriate efforts to have the invention developed. Such efforts may be made directly by the University or by contractual arrangement with the Indiana University Foundation or appropriate outside organizations.
4. It is the policy of the University that the inventor should participate financially in any proceeds from the invention, even though it arises from a University-administered program of research. In arranging for the development of inventions the University will accordingly provide that a share of the income will be paid to the inventor.
5. Donors of funds accepted by the University, or by the Indiana University Foundation, for grants-in-aid of specific faculty research programs shall be entitled to a license under any patents that the University may acquire as a result of work to which the funds are applied, such licenses to be on terms to be negotiated.
6. The government and other sponsors of research may require formal agreements between the University and those connected with sponsored projects; therefore, where the sponsor requires a formal agreement the University will require all faculty or staff members, students, or other persons who wish to participate in such projects to enter into the University Patent Agreement. The University Patent Agreement will include an assignment of all rights to the University, will include provisions for disclosure of necessary information for proper preparation and prosecution of patent application, and will include some statement regarding minimal and maximal shares in income by the inventors.
7. Any faculty or staff members, students, or other persons who are connected with the University and who are also engaged in consulting work or in business should use care in determining that patent clauses in their outside agreements are not in conflict with the patent policy of the University or the provisions of the University Patent Agreement. The University shall have the ultimate right to assist in resolving any conflict or potential conflict of interests in regard to patent matters arising from outside activities of its faculty or staff members, its students, or other persons involved.
8. The University recognizes the traditional academic freedom of faculty or

staff members, students, and other persons connected with the University in matters of publication and copyrights. However, where University commitments or Indiana University Foundation commitments of a contractual nature to a sponsor require, the University shall have the right to determine conditions of publication and the disposition of copyrights in line with the principles set forth in the policy of Indiana University on patents. The patent and copyright commitments of the University on sponsored projects are determined by the particular grants or contracts under which the work is performed. The University will endeavor to negotiate contracts on terms that will further its basic aims in patent and copyright matters.

9. In the event that the University may be required to contract with outside agencies for selected parts of sponsored research projects, patent agreements shall be obtained from such agencies requiring that all scientific and technical personnel connected with the project promptly report and assign all subject inventions to the University or its designated patent management organizations.
10. Inventions or other developments produced by faculty or staff members, students, or other persons along lines not related to any University administered program of research with which the individual may be connected, and to the production and development of which the University contributes no special space, facilities, or funds, shall be the exclusive property of the individual producing the invention or development. The University will not construe the payment of salary as alone constituting grounds for claiming an equity by the University in such invention.
11. Any faculty or staff member, student, or other person who has made an invention considered to be that person's exclusive property, may wish to submit the invention to the university for management under terms to be agreed upon by the inventor and the University.
12. Students who receive financial aid or research expenses, or who utilize laboratories or equipment, which are financed wholly or in part by sponsored funds, must relinquish their rights in resulting inventions to the extent that the University is obligated to those who give financial aid for the educational and research programs through which the inventions are made. Students who make any invention or development in the course of their studies under a faculty research advisor, but who receive no financial aid from funds administered by the University, and who are not connected with any University program of sponsored research, should share rights in the invention or development with their faculty research adviser. Staff members who are also part-time students shall be considered staff members insofar as disposition of patentable inventions is concerned.
13. Persons not associated with the University may come to the University with a patentable invention or development which may be to the public

benefit, but which needs further refinement before its advantages can be fully realized. Where such an invention is related to a University research program and where University personnel, upon administrative approval, become associated with its continued development, resulting patents may be accepted by the University. The procedure will be the same as for work done by faculty or staff members, students, or other persons on University time; however, the sharing of income shall be in accordance with an agreement made with the original inventor at the time of assignment.

14. It is recognized that special cases may arise which are not specifically covered by the foregoing provisions. Such special cases may be submitted to the Committee on Inventions and Patents for resolution.

Patent Procedure

The Vice President and Dean, Research and Advanced Studies, is responsible for administrative matters relating to inventions, patents, and copyrights. The Vice President is the Chairman of the Committee on Inventions and Patents and makes decisions based on advice received from the Committee. The Vice President represents Indiana University in all matters of patent policy affecting the University's relations with government, industry, and the public.

The Committee on Inventions and Patents is appointed by the President. It consists of seven or more members, at least half of whom are from the faculty, and the remainder from the administrative staff of Indiana University and/or the Indiana University Foundation.

The primary duty of the Committee is to advise the Vice President and Dean, Research and Advanced Studies, on matters of patent policy. The Committee shall:

1. Evaluate each patent proposal and then recommend whether or not the University should accept the proposal and attempt to obtain the patent.
2. Recommend the distribution of equity between the University and the inventor.
3. Recommend procedures for licensing or assigning such patents.
4. Make recommendations on special patent policy matters submitted to it for resolution.

In making recommendations on distribution of rights in patents to faculty or staff members, students, or other persons, the Committee on Inventions and Patents shall consider any special requirements of grantors supporting research and of contracting patent management organizations (such as Research Corporation) which set limits on the percentage of income allowed to the inventor.

A faculty or staff member, student, or other person who makes an invention in which the University has an equity, or in which the University may have an equity, should disclose this fact to the Chairman of the Committee on Inventions and Patents in the form of a memorandum covering the subject matter

and the circumstances surrounding the making of the invention. Inventions made on research projects sponsored by government or industry should first be disclosed to the project supervisor.

In the specific case of research supported by the Department of Health, Education and Welfare, inventions or discoveries having patent potential are covered by an institutional patent agreement between DHEW and Indiana University and the Indiana University Foundation. This agreement gives the University the right to elect to file patent applications in the United States and in foreign countries on discoveries or inventions made during research sponsored by DHEW, provided that the University grants to the U.S. Government in each case a non-exclusive royalty-free license for governmental purposes. The agreement allows the full flexibility and simplicity of the University Patent Policy (including internal royalty arrangements between the University and the inventor), and requires only that each investigator sponsored by DHEW sign the Indiana University Patent Agreement based on the policy described in the fourteen points above.

(Board of Trustees action; Faculty Council action; Science Advisory Committee action)

Policy on the Use of Human Subjects in Experimentation

Indiana University administers policies which protect the rights, and the physical and mental health, of human beings who are experimental subjects. These policies provide for full and clear documentation, available at all times, that such protection is always in effect. The Office of the Vice President and Dean, Research and Advanced Studies, has ultimate responsibility for administering these policies. The Vice President is advised and assisted by the University Policy Committee on the Use of Human Subjects in Experimentation. In addition the Bloomington campus, the IUPUI campus, and the Regional Campus System have review committees, reporting to the respective Chancellors. These review committees monitor on-going research and review research plans to insure full compliance with the University's policies in this area.

It is the responsibility of any appointee conducting or planning to conduct research involving human subjects to inform himself or herself fully of University policies in this area and to insure that the actual or planned research is in full compliance with these policies. Strict adherence to these policies is required *whether or not* the research in question has or is envisioned as having external sponsorship and funding.

Compliance will typically involve:

1. Documented consent of human subjects who may be in any degree at risk as a consequence of the experimentation.
2. Demonstration that the expected scientific value of the research justifies the degree of risk to human subjects, and that such risk cannot reasonably be lowered.

3. Prior scrutiny and approval by the relevant Campus Review Committee, to assure compliance with all aspects of University policy, including but not limited to (1) and (2) above.

Full statements of the relevant University policies and procedures are available from the Offices of the three Chancellors involved, from the Chairman of the three Review Committees, and from the Office of the Vice President and Dean, Research and Advanced Studies. As soon as any possibility of employing human subjects emerges in the course of designing research, the responsible investigator should immediately request a copy of the University policies, familiarize himself or herself with them thoroughly, and seek guidance and clarification, if necessary, from one of the above offices or committee chairmen. These policies and procedures apply not only where the human beings will function primarily or exclusively as experimental subjects, but also where such persons may be viewed primarily as therapeutic subjects, and where their role as experimental subjects may be perceived by the investigator-clinician as relatively minor.

(Science Advisory Committee action)

University Policy on the Care and Maintenance of Laboratory Animals

Under University policy, and in compliance with Public Law 89-544, it is required that proper care be exercised in the use of laboratory animals. The mode of acquisition, subsequent housing and maintenance, health, experimental use, and eventual disposition of such animals are all subject to specific University regulations. Detailed records must be kept by the University on certain aspects of the care and handling of such animals.

Compliance with the regulations on this subject is insured by the All-University Office of Laboratory Animal Medicine, which is located at the Student Health Center, Room 412, Bloomington campus. This Office functions under the general supervision of the Vice President and Dean, Research and Advanced Studies.

Any faculty member or other appointee using or contemplating the use of laboratory animals is expected to know the detailed regulations and conform the procedures employed to those regulations. A statement of policy and regulations is available from the Office of the Vice President and Dean, Research and Advanced Studies. It is the responsibility of users and intending users of such animals to have or to secure a copy of this statement and to comply with other regulations. Requests for clarification and advice on the application of the policy and regulations in specific cases should be addressed to the Office of Laboratory Animal Medicine.

(Science Advisory Committee action)

Policy on Contacts with Foundations, Federal Agencies, and State Agencies

Purpose

The purpose of this policy is to coordinate contacts with governmental officials,

agencies, and foundations and to keep the President of the University and other chief administrative officers informed of such contacts. Each member of the Indiana University community (faculty, staff, and students) should at all times seek to distinguish between personal interests (including those involving professional societies and other organizations) and the University's interests. On occasions when duties as an official member of the University community call upon one to contact governmental officials or agencies and private outside agencies such as foundations, the following procedures are designed to aid the individual and the University to present more effectively an authorized, accurate, and persuasive presentation. They also will serve to distinguish between essentially personal presentations and official University presentations.

Personal and Professional Contacts

Personal and professional contacts with elected officials or government agencies, whether in person or in writing, should be done in the name of the individual or the professional society. Indiana University letterhead should not be used and any reference to affiliation with the University should be made only as an aid to identification. It should be made clear that the request is not being made on behalf of the University.

Official Contacts

When it appears that the University should take some stand with respect to legislation or other matters at the federal level, the Vice President and Dean, Research and Advanced Studies, should be consulted. For state or local matters the proper University official is the Director of University Relations.

When, as a representative of the University, a person wishes to make appearances before legislative bodies, expects to request political support, or wishes to issue invitations to elected officials or agency and foundation officers to make official visits to the University, such action should receive prior authorization under the following procedures:

1. Such appearances before federal bodies should receive prior approval from the Vice President and Dean, Research and Advanced Studies, or the President. When University employees appear before such bodies as representatives of other agencies, such as professional societies, it is requested that they notify the Vice President and Dean, Research and Advanced Studies, prior to the date of appearance. Appearances on behalf of the University before state and local bodies should receive prior approval from the Director of University Relations.
2. To be effective, a request to a public official for support of grant proposals and other University interests requires knowledge of relationships between the University and the official and the relationship between the official and the granting agency. Requests at the federal level are to be coordinated through the Vice President and Dean, Research and Advanced Studies, and at the state level through the Director of University Relations, in order that they may be presented most effectively.

3. It is helpful to certain officials and to the University to assure that they be informed through appropriate University publications and periodicals. However, directing to such persons voluminous and irrelevant materials may deflect their attention from useful material. Therefore, distribution of materials to officials should be cleared with the Vice President and Dean, Research and Advanced Studies, or with the Director of University Relations, depending upon the locale of the official. On occasion, they may be able to help underscore to the recipient the importance of the material.
4. The University welcomes visits by elected officials, whether they visit as private citizens or in their capacities as government officials. Invitations to elected officials to visit any campus of the University in their official capacity are to be approved in advance by the Chancellor of that campus, who, in turn, will keep the proper system administrators informed.
5. Responses to requests for information, reports, and statistics from federal government officials should be coordinated through the Office of Institutional Research and the Vice President and Dean, Research and Advanced Studies, and when from officials at the state and local level, through the Office of Institutional Research and the Director of University Relations.
6. After contacts or visits have been made with federal, state, or local officials by a person in behalf of Indiana University, a report on the outcome should be made to the Vice President and Dean, Research and Advanced Studies, or to the Director of University Relations, depending upon the area of government concerned.

(Administrative Committee action)

FRINGE BENEFITS

Insurance

Various benefit plans are provided for employees at Indiana University. The Vice President for Finance and Treasurer is responsible for their management. Detailed information as to the application of the various plans to one's individual case, and complete written descriptions of the plans, are available from the Personnel Divisions or similar offices on the various campuses. (See campus-specific Handbooks.) What follows here is a general characterization of the various plans.

Group Life Insurance

The University provides group life insurance to virtually all its formally appointed full-time employees. Only those employed in positions where the employment expectation is less than nine months, and certain visiting appointees, are excluded. The University pays the full cost of this insurance with no contribution from the employee except under certain conditions involving leave without pay. New appointees are enrolled promptly upon assuming their duties. The insurance is in full force 24 hours a day, including vacation periods.

As with most insurance policies, the provisions of this group policy are complex. Principal features of coverage are shown in the table below. Employees insured for a larger principal amount under the predecessor policy shall not be insured for a lesser principal amount than that obtaining on June 30, 1972, under the predecessor policy. Employees already retired or otherwise terminated as of July 1, 1972, are unaffected, in their insured status, by the new policy.

Table of Covered Employee Insurance Amounts

Basic Rate of Annual Compensation While Actively at Work, When Last Actively at Work if Retired, or While on Vacation or Leave*	Amounts of Insurance SCHEDULE I Age 64 and under	SCHEDULE II Age 65 to 69	SCHEDULE III Age 70 or Qualified for Terminal Coverage
$ 1,000 to $ 1,999	$ 2,000	$ 1,500	$ 1,000
2,000 to 2,999	4,000	2,000	1,500
3,000 to 3,999	6,000	3,000	2,000
4,000 to 4,999	8,000	4,000	2,500
5,000 to 5,999	10,000	5,000	3,000
6,000 to 6,999	12,000	6,000	3,000
7,000 to 7,999	14,000	7,000	3,000
8,000 to 8,999	16,000	8,000	3,000
9,000 to 9,999	18,000	9,000	3,000
10,000 to 10,999	20,000	10,000	4,000
11,000 to 11,999	22,000	11,000	4,000
12,000 to 12,999	24,000	12,000	4,000
13,000 to 13,999	26,000	13,000	4,000
14,000 to 14,999	28,000	14,000	4,000
15,000 to 15,999	30,000	15,000	5,000
16,000 to 16,999	32,000	16,000	5,000
17,000 to 17,999	34,000	17,000	5,000
18,000 to 18,999	36,000	18,000	5,000
19,000 to 19,999	38,000	19,000	5,000
20,000 to 20,999	40,000	20,000	5,000
21,000 to 21,999	42,000	21,000	6,000
22,000 to 22,999	44,000	22,000	6,000
23,000 to 23,999	46,000	23,000	6,000
24,000 to 24,999	48,000	24,000	6,000
25,000 and over	50,000	25,000	6,000

*Persons on Leave without Pay must normally make certain payments to the University to qualify: These payments correspond to the University's cost in continuing the individual coverage under the group plan.

Other Provisions Related to Group Life Insurance

(a) A covered employee who becomes *totally and permanently* disabled before his sixtieth birthday may receive life insurance benefits in equal monthly Disability installments. The number and amount of these are determined by the Master Policy, but the total amount thus paid is not to exceed the first $20,000 of coverage.

(b) Amounts of life insurance coverage ranging from $1,000, for a spouse, to lesser amounts for unmarried children up to certain ages, are extended to such dependents of all appointees covered under Schedules I and II above.

(c) A covered employee, whose employment is terminated after his fifty-fifth birthday, may be eligible to continue in an insured status under Schedule III. Such eligibility depends on years of covered service at termination, with 30 years' service required at age 55, and fewer years of service required as the age at termination increases.

(d) When a covered employee is terminated group coverage may be converted to individual coverage with the same insurance carrier, and without evidence of insurability. After conversion, premiums are paid by the individual, at the individual policy rate applicable to the individual's class of risk. Application for such conversion must be made within thirty-one days after termination. Employment in the summer following termination at the end of an academic year does not qualify the employee for coverage except that the employee may exercise the conversion privilege of this paragraph.

(e) When a covered employee suffers accidental death or dismemberment the designated beneficiary, or the employee, normally receives an additional benefit, over and above the regular coverage. This additional benefit, in case of accidental death and many accidental dismemberments, is equal to the principal sum of the life insurance entitlement. In a few cases of lesser dismemberment it is equal to one-half the principal sum. To illustrate: the beneficiary of an employee covered for a principal amount of $30,000 would, in the event of that employee's accidental death, receive *both* an accidental death benefit of $30,000 *and* the regular death benefit, for a total of $60,000.

There are some limitations on the accidental death benefit provision. It does not apply where the covered employee has reached the age of 70, to those who have retired in an insured classification prior to July 1, 1972, or to those where employment has been terminated after their fifty-fifth birthday, where the death or dismemberment is self-inflicted, where an act of war or military service is involved, or where the death or dismemberment results from or occurs in the course of committing a felony.

(Board of Trustees action; Administrative Committee action)

Group Medical Insurance

A group plan, providing relatively liberal benefits, is in effect with Blue Cross-Blue Shield. The plan also includes Major Medical Coverage. All persons employed on a full-time appointive basis in positions where the expected period of employment is eight or more months per year are eligible. Application for membership may be made during the first two months of employment. The employee's spouse and unmarried children under age 19 may be included. If a child remains single and dependent, eligibility continues until the end of the calendar year in which age 23 is attained; eligibility continues indefinitely if the child is dependent because of a physical or mental disability which began prior to age 23. For persons at age 65 or older, Blue Cross-Blue Shield basic and Major Medical insurance are supplementary to Medicare and do not duplicate the federal program.

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The Group Medical Insurance is a contributory plan in that both the employee and the University make significant contributions to premiums. The percentage of institutional versus individual coverage varies between different classes of employees, and the absolute amount of premiums changes annually depending on the insurance carrier's experience with this group. For academic employees, the schedule of contributions by the individual appointee, effective for any given year is available from the Personnel Divisions or designated offices on the various campuses. This insurance can be continued after an employee retires, with the employee paying the entire cost at the University's group rate.

Employee contributions are normally handled by payroll deduction. Academic employees with a continuing appointment on a 10-month basis experience triple the normal payroll deduction from the first paycheck for any academic year, following a covered summer period during which they were not on the payroll. The University stands ready to continue its share of premium contributions for employees who are on leave without pay or on sabbatical leave. While in a few cases alternative coverage may render it unnecessary, employees on leave are usually well advised to continue their participation in group medical insurance while on leave. Where the leave is a sabbatical leave, the employee contribution can be deducted, as usual, from pay checks. An employee going on leave without pay, and wanting to continue this coverage, must make arrangements, well in advance of the beginning of the leave period, to pay the employee share of the premiums.

The insurer will inform all terminating employees of their conversion privileges. Employees who terminate at the end of an academic year but who are employed in the summer following termination may elect to continue their coverage by paying the full cost of premiums directly to the insurer or by paying these premiums in advance through the University.

Basic Coverage with Blue Cross-Blue Shield

This insurance is concerned with hospitalization and surgical expenses. A per diem payment for the physician during non-surgical hospitalization and an allowance for out-patient X-ray and pathological services are included in the plan. Hospitalization benefits may be received for as many as 365 days during one illness and surgical benefits may be received up to $500.

Major Medical Coverage with Blue Cross-Blue Shield

This insurance is concerned with expenses which are not covered in the basic plan. Examples of such expenses are:

1. The physician's fee for home calls and office visits
2. Surgical fees above basic insurance benefits
3. The cost of drugs, braces, and other appliances
4. Charges for ambulance service and registered nurses

Eligibility for benefits is established and computed as follows:

1. Determine the amount of medical expenses for the individual concerned.
2. Subtract the amounts, if any, paid by the basic plan and Medicare.
3. If the remainder exceeds $100 within one calendar year, the excess constitutes "covered expenses" and a "benefit period" is established.

4. During a benefit period, the Major Medical Plan reimburses 80 percent of reasonable and necessary covered expenses. In this plan, the amount of insurance is $25,000 for the employee plus an equal amount for each eligible member of his or her family.

Workmen's Compensation and Occupational Disease Insurance
State law requires all employers to provide specified benefits for employees who are injured in the line of duty. The cost of the benefits is borne entirely by the University. Injuries should be reported to the employee's immediate supervisor and by the supervisor to the office on each campus which is responsible for Property and Casualty Insurance. If an injury is covered by this insurance, it is not covered by basic or Major Medical insurance with Blue Cross-Blue Shield.

Federal Social Security
A more complete title is *Old-Age, Survivors, and Disability Insurance.* It is referred to often as OASI and is concerned with the payment of benefits to (1) employees who retire, (2) dependents of employees who are disabled, retired, or deceased, and (3) employees who become disabled before reaching retirement age.

Employers and employees make equal contributions to the premiums for this insurance. These premiums are set by Federal legislation as a certain percentage of "covered wages." Both the percentage and the amount of wages "covered" are frequently changed by such Federal legislation.

Health insurance—Medicare—is part of the Social Security program. It is available to persons who are 65 or older. Each person—employee and spouse separately, whether working or not—should file application for coverage with the Social Security Administration about eight weeks before the 65th birthday. Such early application insures that Medicare coverage will become effective at the beginning of the month in which age 65 is attained, coinciding with the effective date of a Medicare exclusion under basic and Major Medical insurance with Blue Cross-Blue Shield.

Unemployment Insurance
Indiana University faculty and staff now have the same economic security against unemployment that is provided by the Indiana Employment Security Act to workers in private industry. By act of Congress, all states were directed to expand unemployment insurance coverage to include employees of universities, colleges, and hospitals, effective January 1, 1972.

Unemployment insurance is provided for under the Social Security Acts of Congress and is designated to encourage stable employment and to provide compensatory benefits during periods of unemployment. There is no employee payroll deduction for this insurance. The full cost is charged to the University.

Those employed in an instruction, research, and principal administrative capacity on a 10-month basis will not be entitled to unemployment compensation benefits during the interval between successive academic years.

Pension Plans

TIAA/CREF

Two deferred annuity plans are available and are combined for each individual in the proportion selected. These plans operate with the Teachers Insurance and Annuity Association (TIAA) and with its companion company the College Retirement Equities Fund (CREF). The appointee may choose a distribution between TIAA and CREF according to any one of the five plans below:

	To TIAA	To CREF
Plan A	100%	0%
Plan B	75%	25%
Plan C	50%	50%
Plan D	25%	75%
Plan E	0%	100%

A change in allocation may be initiated at any time, but the effective date will be restricted to July 1 on or following such request for persons on twelve (12) months' salary basis, and to the beginning of the school year for those on an academic year salary basis.

Immediate Enrollment

Participation begins as of the employment date for:

1. Professors, associate professors, assistant professors, librarians, and associate librarians appointed with tenure or for a term of one year or longer.
2. Senior administrative officers.
3. Any other employee of eligible class who comes from an institution where he or she has participated in a similar retirement plan and who has a deferred TIAA or CREF annuity contract in force.

Other Enrollment

Except as stated above, participation begins on the first day of July next following the completion of specified terms of service for employees of the following eligible classes:

1. Instructors after three academic years of service.
2. Assistant librarians, affiliate librarians, and junior administrative officers after one year of service. Certain professional appointees, whose salaries meet the minimum requirement which is established annually, after one year of service.

Contribution by Employee

A contribution by the employee is required only when employment begins after age 50. To illustrate: Members who become employed in an eligible class at age 51 will contribute one percent of their salary; if employment begins at age 52 they will contribute two percent, etc.

(Waiver of this rule will be considered, however, if the new employee has a TIAA/CREF annuity accumulation which is deemed sufficient to compensate for belated enrollment in the plan at Indiana University. If the employee is entitled to benefits through a retirement system other than TIAA/CREF, this too will be considered in determining the sufficiency of the accumulation for retirement.)

Tax-Deferred Annuities

It is open to an employee already participating in TIAA/CREF to arrange for an addition to the annual TIAA/CREF accumulation via a corresponding reduction in annual salary. Up to certain limits such additional contributions to annuity funds can have a tax-deferred status. Individuals interested in such an option should contact the Insurance Section of the Personnel Division.

Contribution by Employer

On behalf of each eligible employee the University contributes to TIAA/CREF a sum equal to 15% of the annual salary (not including salary paid for teaching in the summer sessions) less $312. (The $312 thus subtracted forms part of the legally required institutional contribution to OASI.) Some examples may serve to clarify the University's pattern of contributions.

Annual Salary	$12,000	$20,000
15%	1,800	3,000
Amount applied toward Employer OASI contribution	312	312
Balance to TIAA/CREF	$1,488	$2,688

Death or Resignation

1. If the holder of a TIAA/CREF annuity dies before life income begins, the accumulation of premiums and earnings is payable to the holder's beneficiary.
2. If a member leaves Indiana University and accepts similar employment at another institution, he or she will probably continue there with the annuities issued here. The TIAA/CREF plan is used by approximately 2,300 colleges, universities, and other educational institutions.
3. If a member leaves but does not go to such an institution:
   a) The member may continue in the plan by paying premiums directly to TIAA/CREF.
   b) The member may request a life income beginning at once.
   c) If no action is taken immediately, interest and dividends will be added to the member's account pending (1) resumption of premium payments, or (2) settlement as elected by the member or beneficiary.

Retirement Age

At Indiana University, the TIAA/CREF annuity plan assumes a retirement age of seventy. The annuity income may begin at any age, provided that the annuitant is no longer in a position covered by this plan.

Retirement Income

Factors governing the annuity income are:

1. The amounts of premiums and earnings accumulated for retirement.
2. The age at which benefits begin. Early retirement yields a smaller income for a longer period.
3. The annuitant's earlier decision regarding the distribution of premiums between TIAA and CREF.
4. The income option chosen by the member when at retirement. The options are commonly known as:
   a) Single life annuity
   b) Last survivor annuity
   c) Life annuity guaranteed for 10 or 20 years certain

All of the options provide a life income for the member, and all but (a) provide income for a beneficiary in the event of the member's early death.

Under any of these options, where the annuitant is age 55 or over when payments begin, up to 10% of the total annuity accumulation may be taken, at the annuitant's choice, as a lump sum payment at retirement. The remaining 90% would be paid under the option chosen.

Supplementary Benefits Payable by the University

Early Retirement, Disability Rule. An employee holding a TIAA/CREF annuity who becomes totally and permanently disabled may retire and receive benefits equal to expectations at age 70, provided that eligibility has been attained under these rules:

1. Professors, associate professors, assistant professors, instructors, librarians, associate librarians, assistant librarians, and affiliate librarians must have completed at least five years of service and must have acquired tenure.
2. The President, the vice president, and the deans must have completed at least five years of service.
3. Others enrolled in TIAA/CREF, including administrative officers and junior administrative officers, must have completed at least seven years of service.
4. Librarians not incorporated in the rank system must have completed ten years of service.

Early Retirement, 18-20 Year Rule. For reasons other than disability, a participant in TIAA/CREF may retire and receive benefits equal to expectations at age 70, provided that eligibility has been attained under these rules:

1. The participant must have completed at least 18 years of participation in the TIAA/CREF annuity plan and 20 years of full-time service at Indiana University.
2. The participant must have retired on or after the June 30 coinciding with or next following the sixty-fifth birthday and prior to the mandatory retirement date.

In order to have "benefits equal to expectations at 70" under this rule, the University pays:

1. To the member: an "interim benefit" which (with primary benefit then available from Social Security and Workmen's Compensation and Occupational Disease Insurance, if any) will result in a total that is equal to the sum of benefits expected at mandatory retirement date.
2. To TIAA/CREF: annuity premiums for the member's account in the regular amount paid immediately prior to the member's retirement.

It should be noted, however, that payment by the University of interim benefits and annuity premiums terminate on the earliest of the following dates:

a) The date of the member's death
b) The date gainful employment is resumed
c) The June 30 coinciding with or next following the member's seventieth birthday, at which time retirement income begins in accordance with the usual regulations of the University.

Retirement, Additional Information

Since some academic appointees began their experience at Indiana University prior to the institution of the TIAA/CREF retirement program, the University has established a supplementary benefit plan designed to provide such individuals with a minimum retirement income. The Personnel Divisions on the various campuses will discuss with those who fall into this category, and who are approaching retirement, the full benefits they can expect from both the regular and the supplementary programs.

(Board of Trustees action; Administrative Committee action)

Regarding TIAA and CREF

TIAA was established in 1918 by the Carnegie Foundation for the Advancement of Teaching and the Carnegie Corporation of New York to provide retirement annuities, life insurance, and health insurance benefits designed especially for the needs of educators. A nonprofit organization, the Association's services are available only to educational institutions and their employees.

CREF, likewise a nonprofit organization, was established in 1952 by TIAA. The assets of TIAA are invested in bonds, mortgage loans, and other fixed-interest securities. The assets of CREF are invested in common stocks. The two systems are designed to complement each other. After retirement, a member will receive a fixed income from TIAA, while from CREF he will receive a variable income based upon the performance of common stocks. The objectives of CREF are to obtain more favorable income through investments in common stocks and to obtain more stability in the purchasing power of retirement income since dividends and the value of common stocks tend to rise and fall with general price levels.

CREF is corporately and financially separate from TIAA, with its own board of trustees and portfolio of investments. CREF and TIAA work together; the same officers and staff manage both companies. TIAA/CREF annuities are flexible, fully vested, transferable among institutions and noncashable. Each employee enrolled in TIAA/CREF is provided with an individual contract for TIAA, and another such contract for CREF.

Through its Counseling Department, TIAA/CREF offers free advisory service to educational institutions and their staff members. The policy holders elect each year, for a four-year term, one TIAA trustee and one CREF trustee.

PERF

The Public Employes' Retirement Fund (PERF) is a state retirement plan for all state employees, operated independently of the Federal Social Security System. Membership in PERF is optional during the first year of employment and is required after one year for all University employees not eligible for TIAA/CREF. Three percent of earnings is deducted from each member's pay checks and deposited to the member's retirement account in the PERF system. This money is in the member's name, to be benefitted from in full at the time of retirement or to be withdrawn from the account with interest upon termination of state employment before eligible retirement age or before achieving vested rights in the retirement system. A person who accumulates 10 or more years of creditable service in the system before age 65, and who leaves the employment of the University or state, shall have vested rights to retain membership in the system and to receive all retirement benefits of the system upon attainment of an eligible retirement age. Information about the PERF plan may be obtained from the Insurance Section of the Personnel Divisions.

Total University Contribution

Institutional contributions to retirement programs are, of course, not limited to TIAA/CREF. There is also a significant institutional contribution to OASI which in turn generates a significant retirement benefit. Recent experience suggests the likelihood of frequent changes in the required institutional contribution to OASI. The total University contribution to retirement plans, of course, depends on each individual's salary level. The University publishes annually a statement of its total contributions to all retirement plans for various salary levels.

Fee Courtesy

For full-time employees, this courtesy shall provide a waiver of a portion of the basic fees for all courses in which the employee shall be permitted to enroll. For spouses of full-time employees, this courtesy shall provide a waiver of a portion of the basic fees for as many as three credit hours. The reduction in fees under this courtesy, in all divisions of the University, shall not exceed one-half of the basic, in-state fees for an undergraduate student in the College of Arts and Sciences enrolled in the number of credit hours for which the employee or spouse is eligible to receive fee courtesy. Health service shall not be

provided except for a spouse enrolled in additional hours of credit work for which regular fees have been paid.

(Board of Trustees action)

Credit Unions

A credit union is an organization of people who have some common bonds, such as a common place of employment, organized for the purpose of promoting thrift through convenient saving methods and of providing a helping financial hand to fellow workers who need a ready source for borrowing funds at a reasonable interest rate. Credit union facilities within Indiana University are operated by and for staff and faculty employees of the University. The University will handle payroll deductions for convenient credit union savings or for the repayment of credit union loans.

The mechanisms for access to credit union facilities differ somewhat from campus to campus. Any individual interested in joining an I.U. credit union and availing himself of its services should consult the statement of credit union facilities in the campus-specific Handbooks.

PROFESSIONAL DEVELOPMENT

Promotions

Procedures for Recommendations

The departmental chairman or director of an academic unit shall have the responsibility of submitting the names of those members of the department who are deemed worthy of promotion on the basis of the established criteria. The responsible administrative officer shall keep under regular review, for each faculty member in the department, those of the following attributes which may be relevant to promotability:

a) Teaching performance and development of teaching techniques
b) Scholarship and reputation for achievement in the field
c) Loyalty and cooperativeness in the department and the University
d) Ability to stimulate and direct graduate students
e) Administrative work
f) Contributions to learned and professional societies

The responsible administrative officer's recommendations shall include *specific information* regarding the points outlined above plus any pertinent information concerning

a) Character and personality
b) Community and other public service
c) Contribution to good public relations

(Faculty Council action)

It shall be the privilege of any faculty member to submit a recommendation for the promotion of any faculty member including that of himself or herself. These recommendations shall be properly documented.

Recommendations, whether submitted by individual faculty members or coming from departmental chairmen or directors, shall be submitted through the academic administration of each campus. Administrative structure varies somewhat from campus to campus. For the specific information on intermediate stages of the promotion process, including faculty committees which advise academic administrators, see campus-specific Handbooks.

Academic administrators and Chancellors, advised by faculty committees, are responsible for submitting promotion recommendations to the Vice President and Dean for Academic Affairs and the President.

It shall be the responsibility of the President to submit to the Board of Trustees in time for consideration at their April meeting the names of those he recommends for promotion. The President shall state in writing to the relevant Chancellor the reasons for any changes in the recommendations of that Chancellor.

(Current Administrative Practice)

Where a candidate is not promoted, it shall be the obligation of the departmental chairman or dean to review with the candidate the reasons for the failure to promote, if such a request is made by the faculty member involved.

Criteria for Promotions

Teaching, research and creative work, and services which may be administrative, professional, or public are long-standing University promotion criteria. Differences of mission between campuses, and between schools within some campuses, are, however, such that the relative weight attached to these criteria should and must vary considerably. A candidate for promotion should normally excel in at least one of the above categories and be satisfactory in the others. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments.

Teaching

The prime requisites of any effective teacher are intellectual competence, integrity, independence, a willingness to consider suggestions and to cooperate in teaching activities, a spirit of scholarly inquiry which leads the teacher to develop and strengthen course content in the light of developments in the field as well as to improve methods of presenting material, a vital interest in teaching and working with students, and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for an individual's promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors, and of colleagues who have visited other classes or

who have been closely associated with his or her teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses.

Research and Creative Activities

In most of the fields represented in the program of the University, publications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. An original contribution of a creative nature is as significant or as deserving as the publication of a scholarly book or article. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should possess a definite continuing program of studies, investigations, or creative works.

Other Services

Educated talent, technical competence, and professional skills are indispensable in coping with the complexities of modern civilization. Because most technical assistance is carried on by professional persons, and a high proportion of them have university connection, the University must provide people to fill this need. The performance of services for the University or for external organizations may retard accumulation of evidence for proficiency in research or teaching even while contributing to the value of the individual as a member of the University community. In such cases effective service should be given the same consideration in determining promotion as proficiency in teaching or research. The evaluation of the service should be in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of the individual.

(Faculty Council action)

Promotion in Rank

When considered for promotion the individual should be assessed in regard to all three criteria from the preceding section. Favorable action should result when the individual has demonstrated a level of competence or distinction appropriate to the proposed rank in one area of endeavor. Failure to promote may arise from unsatisfactory performance in the other areas.

From Instructor to Assistant Professor

This promotion usually is based primarily on evidence of good teaching. Active participation in the affairs of the candidate's department and a promising beginning of independent scholarship are expected.

From Assistant Professor to Associate Professor

This advancement is based on continued improvement, whether in quality of teaching, in scholarship, or in the performance of service roles.

If teaching is the primary criterion, it should be distinctly superior to that of effective teachers at this and other major institutions.

If research or other creative work is the primary criterion, the candidate should have demonstrated a broad grasp of his or her own and related fields and should be establishing a national reputation as a scholar. A definite and comprehensive plan of future research covering a number of years and a beginning thereon which extends well beyond the limits of the doctoral dissertation should be evident.

If service to the University, profession, or community is the primary criterion, it should be discharged with merit and should reflect favorably on the University and on the individual's academic status.

From Associate Professor to Professor

This promotion is based upon achievement beyond the level required for the associate professorship.

If teaching is the primary criterion, the candidate must have demonstrated an extraordinary ability to stimulate in students, either undergraduate or graduate, a genuine desire for scholarly work. Wherever feasible he should have demonstrated the ability to direct the research of advanced students.

If research or other creative work is the primary criterion, the candidate should have shown a continued growth in scholarship which has brought a national reputation as a first-class productive scholar.

If administrative, professional, or academic service is the primary criterion, distinguished contributions must be evident.

(Faculty Council action)

Recognition of Outstanding Achievement

Distinguished Ranks

Faculty members who have reached a high level of distinction in their professions may be designated Distinguished Professors or may be given named chairs within departments. Prior to 1967, the ranks of Distinguished Service Professor, Research Professor, and University Professor were utilized for this purpose.

(Board of Trustees action)

In the fall of each year nominations for distinguished ranks, and supporting documentation, are solicited from all members of the faculty by the Office of the Vice President and Dean for Academic Affairs. The qualifications of nominees are examined by a committee which reports and makes recommendations to the President. The newly designated holders of distinguished rank are announced in the spring of each year.

(Administrative practice)

Awards for Teaching

Indiana University gives a number of awards for outstanding teaching by faculty members. The recipients of the awards are recommended by the standing University Committee on Teaching Awards. This committee, composed of representatives from all divisions of the University, bases its selections on nominations it receives from deans and chairmen throughout the University, with careful consideration of suggestions made by students, alumni, and faculty colleagues of each nominee. Awards are made each spring at the Founders Day ceremony.

Frederic Bachman Lieber Award

The oldest of Indiana University teaching awards was established in 1954 by Mrs. Katie D. Bachman in memory of her grandson and was further endowed by Mrs. Herman Lieber. The award is a citation and placement of the recipient's name on a permanent plaque in the Indiana Memorial Union.

Herman F. Lieber Award

Established in 1961, this was first sponsored by the I.U. Foundation and is now sponsored by Mrs. Herman Lieber of Indianapolis. All regular members of the faculty with ranks from Instructor through Professor are eligible for the award.

Ulysses G. Weatherly Award

Established in 1962 by an anonymous alumnus, this award is named in honor of a great teacher of an earlier generation. The recipient is chosen from among faculty members with ranks from Instructor through Associate Professor in the College of Arts and Sciences.

Standard Oil (Ind.) Foundation Awards

Established in 1967 by the Standard Oil (Ind.) Foundation, these three awards are given on an all-University basis, and all regular faculty members are eligible.

Lieber Associate Instructor Awards

Initiated in 1961, these awards have been presented each year to outstanding teachers among the University's graduate students who combine their programs of advanced study with instructional employment in their schools and departments.

Each of the above awards for outstanding teaching carries with it both a certificate and a substantial cash honorarium.

Sabbatical Leaves of Absence Program

The following is a general description of Indiana University's program. Specific details as to the routing of sabbatical leave applications, the functions of committees on sabbatical leaves, the roles of deans and chairmen in determining eligibility—these and similar matters are described in the campus-specific Handbooks.

Purpose

A faculty member has two academic functions, teaching and research. Travel to use other libraries or research centers, to work with other scholars, or to conduct field research is generally necessary for scholarly endeavor. The sabbatical leave program is undertaken to provide time for such scholarly research and any travel incident thereto and to allow members of the faculty to keep abreast of developments in their fields of service to the University.

A sabbatical leave is not a leave which a faculty member automatically "earns" by having been employed for a given period of time. Rather, it is an investment by the University in the expectation that the sabbatical leave will significantly enhance the faculty member's capacity to contribute to the objectives of the University. For this reason, sabbatical leave applications are approved only if there is adequate reason to believe that they will achieve this purpose.

A statement of proposed use of time is required to indicate the manner of achieving these general objectives. Acceptable programs for the use of time may include:

1. Research on significant problems
2. Important creative or descriptive work in any means of expression, for example, writing, painting, and so forth
3. Postdoctoral study along a specified line at another institution
4. Other projects satisfactory to the responsible committees and/or deans

Adherence to an approved plan is expected of a faculty member. At the termination of the leave, and not later than three months after returning to the campus, the faculty member shall submit a report of activities undertaken, which will be used in evaluating future applications for sabbatical leave of persons who have had one or more sabbatical leaves.

(Board of Trustees action)

Terms of Leave

Sabbatical leave will be for one semester at full salary or for one year at half salary. The sabbatical leave program requires that persons on sabbatical leave devote full time to the scholarly activity for which leave is granted and will receive no salary or stipend from other sources than the University except that (1) persons on leave for a year at half pay may engage in other scholarly activity consistent with that for which leave is granted and receive salary, stipend, or honoraria from other sources in such amounts that total salary, stipend, and honoraria do not exceed approximately the annual income normally earned, and (2) persons on leave may receive grants from other sources for travel and research expenses incident to their scholarly activity.

(Board of Trustees action)

Eligibility

A faculty member is eligible for one sabbatical leave during each period of seven years' full-time service in faculty rank (including time on sabbatical

leave), following the completion of his first six years of full-time service as a faculty member at Indiana University. For example, a faculty member may be granted one sabbatical leave in the seventh, eighth, ninth, tenth, eleventh, twelfth, or thirteenth year of service, and one in the fourteenth, fifteenth, sixteenth, seventeenth, eighteenth, nineteenth, or twentieth year of service. Ordinarily, however, a sabbatical leave will not be granted within less than four years following a preceding sabbatical leave. For example, a faculty member who is granted sabbatical leave in the twelfth year would not again be eligible until the seventeenth year. Leaves without pay do not count as part of the period by which eligibility for sabbatical leave is determined. The sabbatical leave program applies only to persons who agree to return to their positions at Indiana University for at least one academic year immediately following a period of sabbatical leave. A sabbatical leave will not be granted to a faculty member denied reappointment for the academic year immediately following the proposed leave. A sabbatical leave will not be granted for the last year of a faculty member's service prior to retirement.

(Board of Trustees action)

To be eligible for sabbatical leave, a faculty member must agree to reimburse Indiana University for any salary, retirement contributions, and insurance premiums paid during the sabbatical leave in the event that the faculty member does not return to the University for at least one academic year immediately following the leave.

(Current Administrative Practice)

Scheduling

As far as possible, departmental schedules should be arranged so as to permit eligible members of the staff to take leaves. In arranging schedules, an attempt should be made to minimize the cost of substitute instruction and the disruption of the departmental program. Deadline dates relevant to these scheduling issues are to be found in the campus-specific Handbooks.

(Board of Trustees action)

After appropriate review procedures on each campus, and where relevant in the Office of the Chancellor for Regional Campus Administration, have been completed, the approved applications shall be forwarded through the Vice President and Dean for Academic Affairs and the President to the Board of Trustees. Final approval rests with the Board of Trustees, but a favorable recommendation to the Vice President and Dean for Academic Affairs and the President establishes sufficient likelihood of a grant of leave so that applicants are justified in proceeding with plans and arrangements for leave.

(Board of Trustees action; Administrative practice)

Fringe Benefits While on Sabbatical Leave

Group Life Insurance

The University continues this coverage, and the related benefits, based on the

full-time salary *rate* and at *no cost* to the faculty member for either a one-year or a one-semester sabbatical leave.

(Board of Trustees action)

Group Medical Insurance

The Blue Cross-Blue Shield medical insurance, which is in any case optional for faculty members, will be automatically continued during the semester or year in question, if it was in force immediately prior to that semester or year. The individual's contribution will continue by payroll deduction, and the University will make its normal contribution.

TIAA/CREF

For a faculty member taking a one-semester sabbatical leave at full pay, the University will make the full TIAA/CREF contribution for the semester in question.

For a full-year sabbatical leave at one-half salary, the normal University contribution is the customary amount payable on that one-half of the faculty member's salary. Thus faculty members taking such a leave coupled with some type of external financial support should look to this external source for any TIAA/CREF contributions supplemental to the one-half of normal contributions paid by the University. Exceptions to this policy are made only in two situations. The University will make TIAA/CREF contributions on the full salary *rate* for the year in question if:

1. There are *extraordinary circumstances,* such as those involving prestigious research grants combined with sabbatical leaves where it is impossible for the faculty member to make necessary arrangements for his TIAA/CREF to be assumed by the grantor agency, in which the acceptance of the grant would be of such demonstrable value *to the University* that it is in the interest of the University to assume the additional TIAA/CREF liability, and in which acceptance of the grant would require a substantial financial sacrifice by the faculty member. Such exceptions must be recommended by the department head and approved by the appropriate dean and chancellor, and by the Board of Trustees.
2. A faculty member who receives no external financial support during the year in question nevertheless takes a full-year, half-pay sabbatical leave. A written statement by the faculty member in advance of the beginning of the leave indicating that there is no external financial support is a prerequisite to such payment by the University of TIAA/CREF contributions on the full base salary.

Leave without Pay

Request for Leave

When a faculty member or other academic employee wants to take such a leave (LWOP), he should initiate a request through normal administrative

channels. This request should be accompanied by a brief statement of the reasons for which the leave is sought.

(Administrative practice)

Status of Time Spent on Leave without Pay

A year or semester on LWOP does *not* count as a year or semester of service to the University. This means that such leave *will not be counted* in reckoning:

1. University obligations to make contribution to retirement funds.
2. Years' credit toward tenure, except that it may be counted if the leave is spent as a full-time faculty member at some other institution.
3. Years' credit towards sabbatical eligibility.
4. Years of service which may be relevant under any other University regulations, such as those concerned with early retirement.

(Admininstrative practice)

Fringe Benefits While on Leave without Pay

TIAA/CREF

It is the policy of the University not to make TIAA/CREF contributions while an appointee is on leave without pay. A participant in TIAA/CREF who plans to take leave of absence without pay should make appropriate arrangements with his prospective employer or grantor agency to cover his TIAA/CREF contributions. Such contributions can be made directly to TIAA/CREF by the employing institution whether or not that institution participates in the TIAA/CREF program. Alternatively, the employing institution could set the level of compensation at a figure which would permit the individual to make payments to TIAA/CREF, although tax disadvantages would usually result from such an arrangement.

There are extraordinary circumstances, such as those involving prestigious research grants where it is impossible for the appointee to make necessary arrangements for his TIAA/CREF to be assumed by the employing institution or grantor agency, in which the acceptance of the grant would be of such demonstrable value *to the University* that it is in the interest of the University to assume the TIAA/CREF liability, and in which acceptance of the grant would require a substantial financial sacrifice by the faculty member. Such exceptions must be recommended by the department head and approved by the appropriate dean and chancellor, and by the Board of Trustees.

(Administrative Committee action)

Group Life Insurance

If an appointee takes leave without pay, the University will continue the insurance in force for three months. If the leave extends for more than three months, the employee may suspend the insurance, or continue the insurance in effect by paying the premium, at the group rate. If the insurance is suspended during the leave, when the appointee returns it will be automatically reinstated in accordance with the plan certificate.

Group Medical Insurance

It is the policy of the University to continue its contributions toward medical insurance for faculty or staff members on leave of absence without pay. The appointee must make arrangements with the University well in advance of the beginning of the leave to pay the employee's share of medical insurance premiums. The University strongly urges that such insurance be continued.

Blue Cross-Blue Shield medical insurance, optional for employees whether or not on leave, may be terminated while on leave of absence without pay. If an employee transfers to another Blue Cross-Blue Shield plan, and if premiums have all been paid to date of transfer back to the Indiana University plan, coverage can be transferred back to the University plan without any loss of coverage. An employee who terminates the group medical insurance, or who transfers the medical coverage to some plan other than Blue Cross-Blue Shield will be treated, for purposes of Group Medical Insurance, as a new employee upon his or her return from leave.

Other Leaves and Absences

Sick Leave

In case of illness of any academic appointee he or she shall be paid six weeks' full salary during the illness and 50 percent for the balance of the semester in case the illness continues that long.

Where prognosis for early recovery is favorable, the University may, upon recommendation of the chairman or immediate supervisor followed by concurrence of the appropriate dean or chancellor, extend the period of sick leave beyond the limits of one semester to a total maximum of six weeks at full pay and nine additional weeks at one-half pay. Beyond such periods or upon recognition that the illness will be more prolonged, the individual shall be placed upon leave without pay.

(Board of Trustees action)

Military Tours of Duty

The policy on short-term leaves of absence for military duty conforms to the following regulation of the Indiana General Assembly concerning state employees in general: Those persons "who are members of the Indiana National Guard or of the reserve components or the retired personnel of the naval, air, or ground forces, shall be entitled to leave of absence from their respective duties, without loss of time or pay for such time as the members of the National Guard are in the military service on training duties of the state of Indiana under the order of the governor as commander-in-chief, or as members of any reserve component under the orders of the component authority thereof, for periods not to exceed fifteen days in any one calendar year."

(Board of Trustees action)

Jury Duty and Subpoenaed Witnesses

An academic appointee of the University called for jury duty will be allowed

absence with pay for the period of service as a juror. An academic appointee who has been subpoenaed will be allowed absence with pay when serving as a witness.

(Board of Trustees action)

Travel

The University, within the limits of its means, tries to provide travel funds for the staff whenever such travel can be justified as part of the necessary or desirable work of the institution.

Institutional Travel

Allowance for institutional travel is made when representation of the University is considered necessary. Full travel is allowed, including per diem allowance. The appropriate dean determines whether or not a proposed trip is to be considered institutional travel.

Faculty Travel

Faculty travel allowances support travel to professional meetings outside the boundaries of the state of Indiana and within the continental limits of the United States. Each *campus,* and in some cases each *school,* in the University has its own regulations regarding faculty travel, but in no case can more than one trip a year be allowed and in no instance is there any per diem allowance.

Travel to Overseas Conferences

Those wishing to attend international conferences may apply for partial travel support to the Overseas Conference Fund, which is administered through the Office of Research and Advanced Studies and funded by the I.U. Foundation. Within the limits of available funds, support will be forthcoming when it is demonstrated that attendance at the conference will benefit both the participant and Indiana University.

Financial Aids and Services Which Support Professional Development and Research

Grants-in-Aid of Research Fund

It is the purpose of the fund for Grants-in-Aid of Research to encourage and assist promising research and other creative endeavors of significance. Recipients of such support are expected to exercise appropriate initiative in securing needed continuing assistance from sources outside the University.

Grants-in-Aid of Research may be used for any specific and necessary research expenses such as for special supplies, wages of technical or clerical assistants, limited travel to special libraries, etc. The maximum award is $1,500. When adequate justification is presented, renewals may be allowed. If the work of a project yields substantial income, as from royalties on a book, the Grant-in-Aid recipient is required to reimburse the University up to the full amount of the award. Also, when projects are terminated a succinct report is to be submitted.

Summer Faculty Fellowships

A limited number of summer fellowships are awarded to regular faculty members who wish to devote full time to creative work in the arts or to research. Recipients must not hold an appointment at any time during the summer which requires any teaching or other service, and they must be planning to remain on the faculty during the following year. Applications are required by an announced date in November for consideration for fellowships for the following summer. Announcements of awards are generally made the latter part of December.

University Research and Development Committee

The Research Committee is provided an annual budget to support extraordinary expenses which arise from outside funding of projects, such as matching money requirements of a grant, unanticipated expenses from a project, or advances before receipt of a grant. Other appropriate uses of Research Committee funds include the support of faculty research travel abroad, acquisition of unusual items of equipment, acquisition of library books and works of art, scholarship support, coordination and supervision of research, and educational and service grants. In brief, the Committee reviews and makes recommendations on applications for financial support where unusual and non-recurring expenses are envisioned. Applications should be addressed to the Vice President and Dean, Research and Advanced Studies, who serves as Chairman of the Committee, or to the Secretary of the Committee.

Indiana University Foundation

The Indiana University Foundation was chartered in 1936 to support the objectives of the University and to add to its margin of excellence. An early function of the Foundation was to provide a channel for alumni gifts to the University. This has continued to be an imporatnt part of the Foundation's program. Thousands of alumni contribute through an annual giving program which places Indiana at the forefront among state universities in total number of donors and of gifts.

In recent years the attention of the Foundation has turned increasingly to sponsorship of faculty research programs made possible through grants and contracts from government agencies, business and industry, philanthropic organizations, and other sources. Because of their diversity and number, research projects call for specialized attention beyond that available through regular University channels. The Trustees of the University therefore delegated general supervision and coordination of all research programs to the Foundation.

In 1965 the Joint Office of Research Contracts and Grants was established to coordinate the responsibilities of the Foundation with those of the Vice President for Finance and Treasurer and the Vice President and Dean, Research and Advanced Studies. In addition to processing proposals for extramural support and adm nistering contracts and grants, the Joint Office assists faculty members in locating potential sources of support, advises on the writing of research proposals, and works with investigators in the patenting of inventions and discoveries.

Faculty members seeking funds for the support of research, educational development, or other research projects to be funded by outside sources are encouraged to write or visit the personnel of the Joint Office.

International Affairs Center

The Office of Research and Advanced Studies administers the IAC as a coordinating body for international programs at Indiana University. The Center provides logistical support for international conferences and seminars held at Indiana University, offers information on international health problems to international travelers, makes arrangements for foreign visitors and issues lists of such visitors. The Center also prepares a periodic international newsletter for the faculty, publicizes information on overseas fellowship opportunities such as Fulbright-Hays, and implements actions of the Midwest Consortium for International Activities (MUCIA). Records are maintained on Indiana University projects abroad including research activities conducted by area and project programs which receive support from Ford Foundation funds for international studies.

Office of Data Systems and Services

The primary responsibility of Data Systems and Services is the processing of administrative data. This office therefore operates on a closed shop basis. Services may be available for research and instruction where programs and systems have been obtained which were originally developed for IBM equipment. A "Request for Service" form must be completed to obtain approval to process information through the Department. These forms may be obtained from the Office of Data Systems and Services in Bloomington. All requests for academic use of these facilities must have the approval of the Academic Computing Center (see below). The local computer facility on each campus, or the responsible campus administrative offices, should be contacted by those needing assistance in obtaining services. (See campus-specific Handbooks.)

Administrative Data Processing Services are provided to general University offices at no cost. Auxiliaries and income generating departments may be charged for services. Charges for instructional and research consulting will be on the same basis as those of the Academic Computing Center.

Academic Computing Center

Mission

The Marshal H. Wrubel Computing Center is an academic computing facility serving the entire university. Any academic appointee or sponsored student is eligible to use its facilities for research or instructional purposes. The center provides training and technical assistance to help those with computing problems which arise in their work. It participates in the instructional program of the university through the Department of Computer Science for which it also serves as a laboratory.

The computing center does not solicit computing work outside the university. It does administrative data processing for the university only in unusual circumstances as arranged between Data Systems and Services and the computing center.

Organization

The Marshal H. Wrubel Computing Center is responsible to the University Director of Information and Computer Services. Major policies are formulated by the University Academic Computing Policy Committee whose membership is drawn from the Bloomington campus, Indiana University-Purdue University at Indianapolis, and the regional campuses. Planning and coordination for system-wide academic computing is the joint responsibility of the University Director of Information and Computer Services and the University Academic Computing Policy Committee. The immediate management of the computing center is the responsibility of the Director.

The Marshal H. Wrubel Computing Center is established as a self-supporting facility with all costs for services recovered from direct charges to research grants or to a special University computing fund.

Applications to external agencies for project support should include a proper provision for support of anticipated use of the center's facilities. All grant proposals originating at Indiana University are reviewed by the office of the Vice President and Dean, Research and Advanced Studies, and his counterpart at the individual campus level to assure adequate provision for computing support. The computing center staff will assist a prospective user in estimating computer needs prior to completion of a grant proposal.

The University Libraries

While physically located on different campuses, the libraries of Indiana University form an integrated system. This system is centered in a major library building which is located in Bloomington. This building also houses the Bloomington undergraduate library. The Lilly Library for special collections and rare books is also located in Bloomington in a separate building. There are about fifteen additional libraries including regional campus libraries, several IUPUI libraries in Indianapolis, and a number of disciplinary branch libraries on the Bloomington campus.

There is a Faculty Library Committee which advises the Library administrators and has contributed significantly to the development of an effective, multi-campus library system. In addition to committee efforts, all faculty members are expected to survey the library holdings in their respective fields and to assist in developing the library collections. The system's holdings include over three million bound volumes, and an equally large manuscript collection.

The head librarian of each individual library reports jointly to the Chancellor of the campus and to the Dean of University Libraries. Loan privileges, reserve procedures, methods of access to the holdings of other libraries in the system, and the ordering process differ somewhat from campus to campus. These are described in the campus-specific Handbooks.

University Relations Office/University News Bureau

The Office of University Relations is responsible for coordinating and implementing the public relations policy on all campuses of the University System by: 1) Informing the public of the activities and accomplishments of faculty, students, and staff, and 2) Informing the University community of the needs, desires, and reactions of the public.

There are News Bureaus at Bloomington and Indianapolis, and Assistants to the Chancellors for University Relations on the regional campuses. Their responsibilities include the issuance of news releases and the use of other forms of communication to serve the public through the news media. For the widest dispersal of information these units of University Relations should be kept informed by the faculty of news-worthy activities and events—in advance if possible.

In addition, the University Relations Office maintains liaison with the General Assembly, the National Congress, and statewide business, professional, service, civic and special interest groups; coordinates special events; writes and/or edits special publications such as *Your University* for parents, alumni, and opinion leaders, *Faculty Newsletter, Fact Books,* and staff communications; and is available for public relations counseling of individuals and organizations within the University family.

Office of University Publications

The Office of University Publications, with its staff of editors, designers, and printing production specialists, is equipped to assist all departments and divisions of the University with the writing, editing, and design of all types of printed materials. Policies concerning University publications are worked out by the Committee on University Publications.

Nearly every department of the University at some time needs the services of the Publications Office in the preparation of either informational or promotional literature—new curriculum and program announcements, recruiting brochures, posters, bulletins, schedules, handbooks, departmental forms

and letterheads, advertising copy and layout, and other printed pieces, all designed to serve the best interests of the different academic units.

Before planning the details of a publication, discussion of the general plan with the Director of Publications is recommended. This office will help with copy and layout to make certain that the product is kept within budgetary limits and delivered on the desired date. Working with the Publications Office in the early planning stages of a job can save time and effort.

The University's printing facilities, which are under the supervision of the Director of Publications, provide for quality reproduction by letterpress, large or small offset, multilith, mimeograph, etc. Jobs that will not be printed at the University are given out on bid to capable commerical printers. Printing specifications for these jobs are prepared in the Publications Office and processed through the Purchasing Department.

University Press

The Indiana University Press was founded to encourage the publication of worthy books and to advance scholarship by the worldwide promotion and distribution of books of merit. Within the limits of its budget, it publishes not only manuscripts of sound scholarship, but also books of interest to, and importance for, the general reader. It is the belief of the University that its Press should not only encourage the publication of scholarly research in readable and intelligible form, but also that it should make the results of that research available to as wide an audience as possible. Accordingly, the Press places special emphasis on advertising and publicity in its operations.

It is hoped that the faculty will make full use of the book publishing facilities provided and will call to the attention of scholars and writers everywhere an able publishing operation which contributes to the reputation of the University.

REMUNERATION

Salary Policy

The salary of each academic appointee is reviewed annually by the department chairman in consultation with the Dean of the college, school, or division. The Dean then recommends to the Chancellor salary adjustments as merited by such factors as the individual's achievements in teaching, research, and public service. The recommendations of the Chancellor are reviewed by the Vice President and Dean for Academic Affairs and by the President; the President's recommendations are acted upon by the Board of Trustees. Salary adjustments are based upon merit; across-the-board increases are not utilized at Indiana University.

(Faculty Council action)

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Those appointed for an academic year are paid on the basis of ten equal payroll checks (five for each semester). It is sometimes necessary to prorate pay because of resignation, termination, illness, or death. The calculation will be based on the number of calendar days falling within a semester. The relevant item is the ratio of calendar days prior to the cessation of work to the total in the semester. For these purposes, the starting date is the first day of registration and the ending date is the last day of examinations.

(Administrative practice)

Vacation Policy for Twelve Months' Academic Staff

1. All twelve-month academic appointees are entitled to one month's paid vacation during each calendar year.
2. Vacation time is not cumulative, i.e., if vacation time is not taken during one year the individual is not entitled to two months' vacation during the next year.
3. During a vacation period for which an individual receives his regular monthly compensation, it is understood that he shall not accept or receive compensation for full-time employment elsewhere.
4. Although vacations need not be taken at the same time each year, the vacation period in any year should not follow immediately the vacation period of the preceding year.
5. No academic appointee can expect additional compensation in lieu of vacation. Where there is unused vacation time at the end of an appointment, or at retirement, this prohibition will also normally apply.

(Board of Trustees action)

General Policy on Outside Activities and Extra Compensation for the Four State Universities of Indiana

1. The policy here outlined is understood as applying only to full-time academic appointees when they are on the payroll.
2. The total amount of time devoted to outside work by an individual faculty member shall not exceed an average of one day a week during the period one is on the payroll. A faculty member may engage in such outside research and consulting activities only provided the nature of the activity is compatible with the broad objectives of the University and will enhance his or her effectiveness as a teacher and scholar. In all cases departmental duties and one's obligation to the University must take priority over any outside commitments of an income-producing character.
3. It shall be the responsibility of each individual faculty member to see to it that such consulting and other remunerated activities as may be engaged in, and such additional remuneration as these activities may generate, shall be in compliance with the spirit of this regulation. The chairman and academic deans shall have the additional responsibility of monitoring such activities within their units. A rough guideline might be derived from the regulation that appropriate outside activities should not exceed an average

of one day a week during the period when a faculty member is on the payroll; in conformity with the spirit of this policy, it would seem clear that no faculty member should receive extra compensation which amounted in total to more than 20% of regular compensation during any academic year, or during any summer session in which he or she is employed full-time by Indiana University.

4. To insure accountability and control of all funds expended by the University, outside funds will not be commingled with the General Fund. It is understood that projects, which are supported by contracts or grants and in which it is expected that full-time faculty members may be asked to participate, will be established in accounts other than the General Fund and must be under full control of the University.
5. No payment in addition to his budgeted salary may be made to an individual faculty member from the General Fund except for programs traditionally accepted and approved, such as extension teaching.
6. Faculty members devoting part-time to projects supported by contracts and grants will receive General Fund salary support only for that portion of their time devoted to regular University programs of instruction and research. In no case will the total of salary components from General Fund and contract or grant sources exceed 100 percent of the faculty member's normal, budgeted salary rate.

RETIREMENT

Retirement Age

At Indiana University, the age fixed for retirement is seventy years. Employees born on the thirtieth day of June retire on their seventieth birthdays, all others retire on the thirtieth day of June next following their seventieth birthdays. Optional retirement may occur prior to age 70.

(Board of Trustees action)

Administrative Retirement Age

The President, deans, chairmen and heads of academic departments, and other administrative officers shall be retired from their administrative duties at the end of the academic year in which they attain the age of 65. Where administrative officers also hold faculty or library rank, they may continue to serve in their non-administrative capacity, until full retirement on June 30 coinciding with or next following the seventieth birthday.

(Board of Trustees action)

The Occasion of Retirement

Each campus arranges an occasion in the spring of each academic year to honor academic appointees who are retiring, along with those already retired.

(Faculty Council action)

The Status and Privileges of Retired Faculty Members

Retired faculty members shall be listed in the appropriate *Bulletins* of the University and of the various campuses, schools, and departments, as well as in *The Register*. They are invited to submit Annual Reports on the usual forms, listing their achievements and honors in the standard manner. They shall also be invited to participate in Founders Day and Commencement ceremonies. Budgetary provision is made to provide supplies, equipment, office and other space needs and grants-in-aid of research and productive work, using the same standards as for the faculty generally.

The campuses of Indiana University extend various privileges to retired appointees. There is, of necessity, some variation from campus to campus, so interested individuals should consult the campus-specific Handbooks. Examples of such privileges now available on some or all campuses include:

1. Free mailing of the student newspaper, of the minutes of the campus and the University Faculty Councils, and of school and departmental bulletins, along with campus and University announcements and information which will be of interest to them.
2. The right of admission to University or campus-sponsored events—public lectures, concerts, athletic events, etc.—on the same basis as academic appointees generally.
3. Availability of campus parking permits on the same basis as academic employees generally.

(Board of Trustees action; Faculty Council action)

Employment of Retired Academic Appointees

Employment of retired employees, if offered, shall be invitational on a year-to-year basis, at the option of the University. The employment of retired academic appointees shall be exclusively on the basis of ability to perform in response to actual needs of the institution in teaching, research, and related areas. At the option of the University, a complete physical examination may be required where such employment is under consideration.

(Board of Trustees action)

III. The Academic Appointee and the Student

[This section is re-printed unrevised, save for the new calendar which has been approved by the University Faculty Council, from the most recently printed edition of the old Faculty Handbook. Much of the material in this section is specific to the Bloomington campus and inappropriate for a system-wide academic handbook. It is nevertheless felt desirable that this material be made available here. A number of the items in Section III are currently under discussion as to their system-wide applicability. Other items will surely be replaced by analogous sections of individual campus Handbooks as these are created. Subsequent editions of the Academic Handbook should exhibit substantial modifications as regards Section III.

Section IV of the old Faculty Handbook which deals exclusively with the Bloomington campus has been dropped from the Academic Handbook.]

BASIC CURRICULUM OF INDIANA UNIVERSITY

In May 1957 the several undergraduate schools of the University reported to the Faculty Council that they had approved and adopted the report recommending to them a common basic curriculum. The recommendations of that report were as follows:

1. All students receiving undergraduate degrees from Indiana University shall complete the requirements of a basic curriculum in accordance with the following categories and options: (a) mathematics: no requirement; (b) foreign language: no requirement; (c) communication: six hours; (d) social sciences: five-six hours to be selected from introductory courses currently offered in the Departments of Anthropology, Economics, Geography, Government, Sociology, and the School of Business; (e) history and the humanities: five-six hours to be selected from introductory courses currently offered in the Departments of History, Classics, Comparative

Literature, English, Fine Arts, Music, Philosophy, and Speech and Theatre; (f) natural sciences: five hours to be selected from introductory courses currently offered in the Departments of Anatomy, Microbiology, Biology, Botany, Physiology, Psychology, Zoology, Astronomy, Chemistry, Geology, and Physics. This curriculum requires a total of from 21 to 23 hours. (Note: Only the courses specifically listed in the report are acceptable for fulfilling the above requirements.)

2. Certification of the completion of the requirements of the basic curriculum will be the responsibility of the individual schools.
3. New courses may be added to the lists of options only following prior review and approval by the University Committee on Curricular Policies and Educational Programs.

CALENDAR

The University Calendar follows these guidelines:

1. Student orientation and counseling for the First Semester should begin on the second Tuesday preceding Labor Day.
2. Registration for each semester should overlap the second day of counseling.
3. Four days should be provided each semester for registration—ending on Saturday.
4. At least seventy-five class days, not including Saturdays and Sundays, shall be provided during both semesters.
5. Classes should begin on Monday preceding Labor Day.
6. Mid-term reports for each semester should be due on Friday of the eighth week of classes.
7. Thanksgiving recess shall begin after the last class on Tuesday preceding Thanksgiving.
8. Classes should resume on Monday immediately following Thanksgiving.
9. Classes should end approximately one week prior to Christmas Day.
10. Following the ending of classes, three days should be reserved each semester for departmental examinations only. At no time should the examination period for the First Semester end later than December 23.
11. The Christmas Recess should extend for approximately two and one-half weeks following the ending of the First Semester.
12. The Spring Recess should begin after the students' last class meeting on the eighth Saturday after the beginning of the Second Semester classes, and end at 7:30 a.m. on the second Monday following.
13. Counseling and registration for Intersession should be held on the first Monday following the completion of Second Semester examinations, with classes (75 minutes in length) beginning on Tuesday. There should be 28 class days, excluding Saturdays, in the longer session and 14 class days (180 minutes per day) in each of the parallel and consecutive short sessions.

14. Two days should be provided for counseling and registration for the Regular Session immediately following the end of Intersession classes. Independence Day should be recognized as a recess. There should be approximately 39 class days with 60-minute periods provided in the Regular Session. Consecutive short sessions, consisting of at least 13 class days with 180-minute class periods, should parallel the Regular Session.

(Faculty Council action)

ADMISSIONS POLICY

All Entering Freshmen

These students are expected to have completed four units (years) of English (one-half unit each of speech and journalism may be included) and nine or more units of work in some combination of foreign language, mathematics, science, and social studies. Students seeking admission to the College of Arts and Sciences or School of Nursing should include two or more years each of mathematics, science, and foreign language.

Out-of-State Freshmen

These freshmen are selected from applicants whose class rank and test scores on the Scholastic Aptitude Test (SAT) or the American College Test (ACT) are in the *top quarter.*

In-State Freshmen

Indiana residents must be in the *top half* of their classes or make above average scores on the entrance test battery. The Admissions Committee is authorized to make reasonable exceptions and, at its discretion, to accept students on probation.

In-State Transfer Applicants

Those who are residents of Indiana are admitted if their previous academic and personal records have been satisfactory. Students whose cumulative index is calculated to be less than 2.0 (C average), as required at Indiana University, are normally denied admission. If the deficiency is small and the applicant appears able to make it up, he may sometimes be allowed to enter on probation and on a further condition that he make up the deficient points. Any applicant who has been in college as much as three semesters and who has a deficiency is ineligible for even probationary admission.

Out-of-State Transfer Applicants

These students are expected to have a B average or better.

Policy at Other Indiana University Campuses

The regional campuses and University centers in East Chicago, Fort Wayne, Gary, Indianapolis, Jeffersonville, Kokomo, Richmond, and South Bend

require the same application procedures, the same filing dates, and the same entrance examinations as divisions in Bloomington. The same standards prevail throughout the University.

REGISTRATION AND ENROLLMENT

Registration and enrollment at Indiana University are two distinct operations.

1. Registration consists of the student's completing certain forms giving personal information about himself.
2. Enrollment consists of the planning of programs and the assigning of class sections for courses which the student takes.
3. Faculty members are not involved in registration, but many of them serve as advisers to assist the student in determining his program of studies. Others serve as enrollment officers in their schools or department by assigning students to the different class sections.

Enrollment Procedure

1. As soon as the student and adviser have agreed upon the courses the student is to take, these course entries are written on the official Enrollment Card (in most schools) by the adviser.
2. The adviser enters only the department name, course number, and hours of credit in the spaces provided on the Enrollment Card.
3. It is essential that all entries on the Enrollment Card be absolutely accurate.
4. The department name should be the official name or abbreviation of a regular department or a school of the University. (Department names are used only in the College of Arts and Sciences, but such subdivisions of departments as "Comp." or "Lit." are not to be used.)
5. Hours of credit should be the same for every student in a regular undergraduate course.

Change of Course

After Enrollment Day, some students withdraw from one course and enroll in another. To do this the student must first obtain a special Change of Course Blank from the Registrar. The dean and instructors involved indicate their approval of the change by signing the blank which is then filed by the student in the Office of Records and Admissions. The instructor of the new course receives from the student a special Add Card, stamped by the Registrar, which is his authority to admit the student to the class. No change is official until this final step is completed.

Change of Class Section

Other changes in record occur when students move from one class section of a course to another class section of the same course. This is not the same as a withdrawal and enrollment. In order to change from one class section to another, the student obtains from the Office of Records and Admissions a special Change of Class Section Blank. The change is indicated by the instructors involved on this special blank. It is returned to the student, who files it with

the Registrar and receives a special Add Card to present to the new instructor. In contrast with withdrawal and enrollment, the change of class section does not clear through the offices of the academic deans.

Late Admissions to Courses

No student is permitted to enroll in any regularly scheduled course or for any additional hours of credit in any course after the first two weeks of a regular semester or after the first week of a summer session unless the instructor of the course petitions that an exception be made and the request is approved by the dean of the school in which the course is offered and the dean of the school in which the student is enrolled.

Office of Records and Admissions

Academic records of all students are available in the Office of Records and Admissions for study by members of the faculty. The faculty is requested to use these records in the Registrar's Office in order to avoid any possibility of loss. Experience has shown that it is not advisable to furnish grades to faculty members or deans over the telephone. Regular bulletins and other publications of similar character are available in the Office of Records and Admissions. If a faculty member desires one or more such publications, the Registrar will be glad to furnish them upon request.

The Office of Records and Admissions has long served as a general information office; inquiries which its staff cannot answer will be referred to the person who can be most helpful.

CLASSROOM POLICIES

Absences from Final Examinations

Students who fail to attend the final examinations or other closing exercises of the classes in which they are enrolled, and who have a passing grade up to the time of the final examination or exercise, should be marked Incomplete. The report of marks for other students who are absent from final examinations or closing exercises is left to the judgment of the instructor.

No instructor or officer of the University will excuse any such absence in advance. If earlier examinations are requested in emergencies, written permission must be obtained from the dean of the school in which the student is enrolled.

The student who is absent from a final examination is required to submit upon one of the blanks furnished by the Office of the Dean of Students a written statement of the reason for his or her absence, to show this statement to each of his instructors in courses from which he was absent from the final examination or other closing exercise, to receive the signature of each thereon, and to file this signed statement with the Dean of Students. The Committee on Absence will notify the instructor regarding its decision on the excuse.

No class will be dismissed for the semester before the scheduled end of the semester.

Absences from Scheduled Classes

Policies regarding absences from scheduled classes are generally determined by the instructors of the classes in which they occur. Students are expected to explain to their instructors the causes of these absences and to make up all the omitted work to the satisfaction of their instructors. Cases of extended or repeated absence should be referred to the Dean of Students and will be dealt with by that office or by the Committee on Student Affairs.

No member of the faculty shall have the right to require participation by a student in an activity which requires the absence of the student from regularly scheduled classes, except when the Dean of the Faculties or the Dean of Students has approved such absence.

Changes in Schedule of Courses

It is the sense of the faculty that there shall be no change from the scheduled hours of recitations after the opening of any term, except in cases of extreme necessity. In cases where the exact hours are not scheduled in advance, no student may be required by any department to take any course if by so doing he would be compelled to rearrange or drop any of the other courses for which he has previously been registered. This regulation shall apply in full force to all departments and professional schools of the University.

GRADES AND GRADING POLICY

Grading System at Indiana University

The official grade code of Indiana University is:

A—Highest Passing Grade	I—Incomplete
B	Def—Deferred
C	S—Satisfactory*
D—Lowest Passing Grade	W—Withdrawn
F—Failed	WF—Withdrawn, Failing

*This grade may be used only under the following conditions: (1) permission (granted prior to the beginning of the course) of the Dean of the Faculties and the dean of the school offering the course; (2) the understanding that in any course in which the grade S is used, the only other grade permitted will be F; (3) the understanding that hours of credit with the grade S will count toward graduation, but the course will be ignored in computing credit points. A special provision allows students in special evening classes at Bloomington to elect, at the beginning of the class, but not later, whether to receive the special grade of S or the regular grade.

1. One of these grades must be turned in at the end of the semester for each student in each course in which he is enrolled. With the exception of some courses in the School of Medicine, there is no course in the University in which the grade of Def (Deferred) is applicable.
2. Plus and minus marks after the letter grades are presently authorized for use in recording grades for graduate students in the Graduate School and the School of Education *only.* They are not authorized for use in any other school or division of the University.
3. Occasionally it is necessary, because of an error, for a final grade to be changed after it is turned in to the Office of Records and Admissions. Before the Registrar can make this change on the student's official record, the dean of the appropriate school must approve the change. The faculty member presents the reason for the change to his dean, who, in turn, writes a letter to the Registrar authorizing the change.

Incompletes*

Circumstances Under Which Incompletes May Be Given

The grade of Incomplete is used on the final grade reports. The grade of I (incomplete) indicates that the work is satisfactory as of the end of the semester but has not been completed. The grade of Incomplete may be given *only* when the completed portion of a student's work in the course is of passing quality. Teachers may award the grade of Incomplete only upon a showing of such hardship to a student as would render it unjust to hold the student to the time limits previously fixed for the completion of his work.

Procedure for the Uniform Handling of Incompletes

DEPARTMENTAL CARD FILES

Each department of the College of Arts and Sciences and each school of the University shall maintain a card-file record of Incomplete grades recorded in courses of that department or school. This record, on a specially designed card completed by the instructor, should include (1) the name of the student, (2) the course number and hours of credit, (3) semester and year of enrollment, (4) the signature of the instructor, (5) a brief statement of the reason for recording the Incomplete, and (6) an adequate guide for removal of the Incomplete grade (with a suggested final grade) in the event of the departure or extended absence of the instructor from the campus.

TIME LIMITS FOR REMOVAL OF INCOMPLETES

The time allowed for the removal of an Incomplete is one calendar year from the date of its recording, except that the dean of the student's college or school may authorize adjustment of this period in exceptional circumstances.

*None of these regulations apply to those graduate courses or research and reading courses in which completion of the work of the course is not necessarily required at the end of the semester. *Once a student has graduated, nothing in these regulations shall prohibit the Incomplete from remaining on the record.*

If the student fails to remove the Incomplete within the time allowed, the dean of the school in which he is currently enrolled shall authorize the Office of Records and Admissions to change the Incomplete to F. Both the student and the instructor in whose course the student received the Incomplete shall be notified of this change in grade.

A student may not enroll in a course in which he has a grade of Incomplete.

The student may be denied the right to make up an Incomplete if it seems to the dean and the instructor that it is impractical for the student to complete the course. In this case, the student should be given the opportunity to withdraw from the course.

INCOMPLETES RESULTING FROM ABSENCE FROM FINAL EXAMINATIONS

Where the grade of Incomplete is given because the student missed the final examination, he shall be allowed to remove the Incomplete by taking the examination only if he has followed the regular procedure to have his absence excused and the Committee on Absence has notified the instructor that the student may be permitted to take the examination. If the Committee on Absence, under the Dean of Students, determines that the reason for the student's absence is not satisfactory, it should inform the instructor that the grade of Incomplete should be changed to a grade of F.

Where the Incomplete was received because of absence from the final examination, students may prefer to receive a grade of W instead of taking the examination. In such cases, the Dean will not approve the grade of W unless the Committee on Absence has approved the reason for absence.

METHODS FOR REMOVING INCOMPLETES

A grade of Incomplete may be removed in one of the following ways: (1) by the student completing the course within the time limit and the instructor sending the appropriate Removal of Incomplete Card to the Office of Records and Admissions; (2) by the dean of the student's school authorizing the change of Incomplete to W.

Grades for Credit Earned by Examination

When credit is earned by examination, only the grades of S and A will be used in recording. The grade of S will ordinarily be used and the grade of A will be assigned only in instances of clearly superior performance.

Grades Given Upon Withdrawal from Courses—Undergraduates Only

Withdrawal During the First Three Weeks of a Semester

A grade of W is given automatically to the student who withdraws during the first three weeks of a regular semester or during the first two weeks of a summer session. The grade is assigned on the date of withdrawal.

Withdrawal After the First Three Weeks of a Semester

After the periods specified above, a student may withdraw only with the

permission of his dean. This approval is given only for urgent reasons relating to extended illness or equivalent distress. The desire to avoid a low grade is not an acceptable reason for withdrawal from a course. To qualify for the grade of W, a student must be passing the course on the date of withdrawal. If the student is failing, the grade recorded on the date of withdrawal will be WF.

Absence During Last Weeks of a Semester

If a student is not in attendance during the last several weeks of a semester, the instructor may report a grade of I if he has reason to believe that the absence was beyond the student's control; otherwise, he shall record a grade of F. Failure to complete a course without an authorized withdrawal will result in the grade of F.

Midterm Class Reports

Near mid-semester, members of the faculty receive in the mail "pink sheets" on which are listed the names of all students in their various classes. All necessary corrections are made on these "pink sheets" by the members of the faculty in order to make the report an accurate enrollment record.

Grade Reports

Midterm Grades

Letter grade reports shall be given at midterm for all University Division students. Faculty members are expected to give each undergraduate a written evaluation of his performance as early as compatible with the nature of the course, but not later than after two-thirds of the semester or summer session have elapsed. This evidence will normally consist of a letter grade, but it could also be recorded in a different manner (e.g., written critique of a paper, written evaluation of the student's total performance). In certain types of courses such as senior or Honors seminars, the evaluation might be given orally.

Final Grade Reports

At the end of the semester, the faculty members are given final grade report sheets on which they enter the grades discussed on page 80.

1. Faculty members are asked to bring the grade report sheets to the Office of Records and Admissions so that any questions about them may be answered.
2. These grade reports are due in the Office of Records and Admissions seventy-two hours after the final examination for students who are not degree candidates, and twenty-four hours after the final examination for degree candidates. When no final examination is given, final grades are due forty-eight hours after the last class meeting. If they are turned in after the deadline, the Registrar cannot be responsible for informing the deans and students of the late grade, and the faculty member is required to so inform them.

Grade Change

Once a grade sheet has been received by the Office of Records and Admissions, no grade, except that of Incomplete (I) or Deferred (Def), contained thereon may be changed except with the written consent of the dean or his authorized representative of the college or school in which the instructor or professor is a faculty member and with a report to the faculty of the respective college or school.

Change of Grade W or WF

If the final grade sheet carries the grade of W or WF already printed upon it when it is received by the instructor, in no case is this grade to be changed without discussion with the Registrar.

Posting of Student Grades

The Faculty Council recommends that when faculty members post the grades of students the grades be identified by code and not by the names of the students.

EXAMINATIONS

Review of Examinations

It is requested that all instructors in the University give opportunity for review of hourly and mid-semester examinations in each of their undergraduate courses.

Written Assignments Prior to Examinations

In the undergraduate schools of the University, papers, term reports, and formal tests—except for practical tests at the end of laboratory periods—should not be required during the seven-day period preceding examinations, and all such reports, papers, and formal tests should be completed prior to this seven-day period preceding examinations.

Examination Files

It is requested that each head of a University department which has undergraduate students assemble in the discretion of the several instructors, and transmit to the Director of Libraries five sets of typical weekly or biweekly quizzes, hourly and mid-semester examinations, and final examinations for all freshman and sophomore courses in his department, together with typical examinations for junior and senior courses.

Final Examinations

At the close of each regular semester, a period of approximately one week is provided for semester examinations. The time devoted to each examination is ordinarily two hours, regardless of the number of hours a week the class has met.

Departmental (or combined) examinations are ordinarily restricted to those courses which have five or more sections.

A reading day is scheduled between the last day of class recitation and the first day of the examination period, provided the reading day does not fall upon Monday or Friday.

In the summer sessions, final examinations are ordinarily held on the last day of scheduled classes.

Night Examinations

There shall be no night examinations during the period of final examinations.

Night examinations are permitted in the College of Arts and Sciences during the semester for courses with multiple sections with the consent of the Dean of the College. For the rest of the University, night examinations are permitted for multiple-section courses with the consent of the Dean of the Faculties.

CHEATING AND PLAGIARISM

The faculty member has a responsibility to foster the intellectual honesty as well as the intellectual development of his students. He should carefully scrutinize his methods of teaching and his assignments in order to be sure that they encourage his students to be honest. If necessary, he should explain clearly the meaning of cheating and plagiarism as they apply to his course. The faculty member's obligation is particularly serious in connection with examinations. It is his duty to arrange for careful supervision of all examinations and class exercises. Should the faculty member detect signs of plagiarism or cheating, it is his most serious obligation to investigate these thoroughly, to take appropriate action with respect to the grades of his students, and in any event to report the matter to the Dean of Students. The necessity to report every case of cheating, whether or not further action is desirable, arises particularly because of the possibility that this is not the student's first offense, or that other offenses may follow it. Equity also demands that a uniform reporting practice be enforced; otherwise, some students will be penalized while others guilty of the same actions go free.

A university is devoted to the discovery and communication of knowledge. In this endeavor, intellectual integrity is of the utmost importance, and correspondingly, its absence is taken very seriously. By enrolling at Indiana University, each student commits himself to its ideals and must expect to find them actively fostered and defended.

In practical terms, in addition to the preceding moral considerations, the University must determine whether its teaching is effective and give due recognition which includes valuable fellowships and scholarships, to those students who have succeeded in learning. In order to encourage learning and to judge its quality, examinations and assignments are employed. To evaluate these with justice and fairness, it is necessary that they be executed with complete honesty. In the interest of protecting the honest student and making an accurate evaluation of every student's performance, the University has adopted the following regulations governing cheating and plagiarism.

For Undergraduate Students

Cheating

Dishonesty of any kind with respect to examinations, course assignments, alteration of records, or illegal possession of examinations shall be considered cheating.

It is the responsibility of the student not only to abstain from cheating but, in addition, to avoid the appearance of cheating and to guard against making it possible for others to cheat. Any student who helps another student to cheat is as guilty of cheating as the student he assists. The student also should do everything possible to induce respect for the examining process and for honesty in the performance of assigned tasks in or out of class.

Plagiarism

Honesty requires that any ideas or materials taken from another source for either written or oral use must be fully acknowledged. Offering the work of someone else as one's own is plagiarism. The language or ideas thus taken from another may range from isolated formulas, sentences, or paragraphs to entire articles copied from books, periodicals, speeches, or the writings of other students. The offering of materials assembled or collected by others in the form of projects or collections without acknowledgement also is considered plagiarism. Any student who fails to give credit for ideas or materials that he takes from another source is guilty of plagiarism.

Procedure

A faculty member who has evidence that a student is guilty of cheating or plagiarism shall initiate the process of determining the student's guilt or innocence. No penalty shall be imposed until the student has been informed of the charge and of the evidence upon which it is based and has been given an opportunity to present his defense. If the faculty member finds the student guilty he shall assess a penalty within the course *and shall promptly report the case in writing to the Dean of Students.* He should include with his report the names of any other students who may be involved in the incident and his recommendations for further action. The Dean of Students, upon consultation with the faculty member if the latter so desires, will initiate any further disciplinary proceedings. The Dean of Students will inform the faculty member of his action. In every case a record of the offense remains in the student's file in the Dean's office.

Appeal

If the faculty member and the student cannot agree on the facts pertaining to the charge, either the faculty member or the student may request the Dean of Students to review the case and decide whether the student is guilty. If either of the parties is dissatisfied with this decision, the case shall then be referred to the Student Conduct Committee for a hearing. The Student Conduct Committee shall then make a recommendation to the Dean of Students. Such a hearing must be held in the presence of the faculty member concerned (or his

representative) and the student involved. Exception to this procedure may be made only when there is outright refusal to attend.

Once the facts have been established, the student may appeal any penalty imposed by the Dean of Students to the Student Conduct Committee.

Penalties

A penalty affecting a student's grade in a course may be imposed only by the faculty member in whose course the offense occurred. It is recommended that the following penalties for cheating or plagiarism be observed:

1. An F in the course should be given for dishonesty on any assignment, examination, or paper.
2. A student who is found guilty of cheating or plagiarism (or any person who aids and abets such behavior) shall be subject to additional penalties such as probation, suspension, or expulsion, to be assessed by the Dean of Students.
3. Students convicted of stealing examinations, altering grades or class records, or any comparable acts shall be subject to suspension or expulsion by action of the Dean of Students.
4. Any students who are involved in group action which makes possible cheating or plagiarism shall be subject to the same penalties as if they themselves had cheated or plagiarized.
5. A grade of Incomplete may be given by the instructor in the event any case cannot be resolved before final grades are due in the Office of Records and Admissions.

For Students at Other Indiana University Campuses

The above regulations shall also apply at all regional campuses and University centers except that the responsibilities of the Dean of Students shall be carried out by an officer designated by the dean of the campus or the director of the center involved. This implies the appointment of an appeal committee composed of students and faculty.

For Graduate and Professional Students

Any professional or other school at the graduate level may, with the approval of its faculty, state its policy, adopt its own rules, and set up procedures and penalties for dealing with cases of cheating and plagiarism. Such policies, rules, procedures, and penalties should be communicated to the graduate or professional students of the school. Otherwise, the foregoing rules shall apply to graduate and professional students with the exception that the responsibilities of the Dean of Students and the Student Conduct Committee shall be vested in the dean of each graduate or professional school.

FACULTY-STUDENT RELATIONS

The Faculty Council on December 17, 1957, endorsed a report from the Faculty-Student Relations Committee, which made the following recommendations to the faculty:

Faculty members should keep liberal office hours. These should be ordinarily not less than three hours per week and should be scheduled at times not so

inconvenient to students as to make them perfunctory. Teachers (except those involved in sections of very large size) should make it their practice to talk to each student in their sections at least once a semester in the privacy of their offices. Teachers should encourage such contacts with students who are not having any trouble with their courses as much as with those who come in for help and advice, because the reactions of the superior students will be of real help to teachers in planning their courses and judging of their success. Such meetings will also be opportune times to encourage suitable students to consider seriously the choice of teaching as a career.

Faculty members are encouraged to invite student groups to their homes and even to meet small advanced classes in their homes whenever this practice accords with the professional quality of the course.

SERVICES WHICH SUPPORT THE FACULTY MEMBER AS TEACHER

The Division of Student Personnel

The Division of Student Personnel provides administrative and counseling services to students in all areas of extracurricular life. Faculty members are urged to refer students to those offices where special services may assist them in deriving maximum benefit from the university experience. Through these offices and services the University strives to provide maximum attention to the needs and problems of the individual student.

If there is doubt about the specific office to which referral should be made, exploratory referrals to the Office of the Dean of Students are welcomed.

The Division provides these offices and services:

Counseling Center
Vocational, personal, and educational counseling is available at the Center, which aids students with adjustment problems common to the college environment and supplies information as needed. Referral from the Counseling Center to either the Student Health Psychiatric Service or the Psychological Clinic of the Department of Psychology may be made in cases of unusual emotional disturbances.

Counseling and Activities in Halls of Residence
Professional staff and graduate assistants within each residence center are available to assist individual students, to advise student government, to encourage activities, and to help create an environment which adds to each student's educational experience.

International Services
The International Services Office counsels foreign students on cultural, educational, social, and personal adjustment. Its activities and hospitality program promotes contact between foreign students and Americans, both within the University and in the community. All details regarding a foreign student's relationship to the United States government, his own government, and sponsoring agencies (including such matters as passport and visa extensions,

money-exchange permits, certificates of enrollment, and employment permission) are handled by the International Services Office.

Information is available in this office on study-abroad opportunities, including the Fulbright program, foreign-government awards, and reciprocal exchange programs.

Reading and Study Skills Center

Diagnostic service and individualized training in the techniques of reading and study are available for any student who wishes to improve his reading or study skills. The training utilizes programmed instruction and modern reading devices under the supervision of counselors. Any student is eligible to enter the program at any time throughout the year and to plan his own individual, flexible schedule at the Center.

Scholarships and Financial Aids Office

All forms of financial assistance for undergraduates, including scholarships, grants-in-aid, long- and short-term loans, and student employment, are administered in this office. Financial planning and counseling services are available to both students and parents. Only loans and part-time employment are available to graduate students through this office.

Health Professions Scholarships and Loans, the Nursing Student Loan Program, and financial assistance programs for the regional campuses are also administered by this office.

All students with financial need, regardless of grade-point average, should be referred to the Office of Scholarships and Financial Aids.

Student Activities Office

This office serves as the central headquarters for all campus organizations, including fraternities and sororities, and student self-governing organizations. Its staff provides advice to these groups regarding their programs and special concerns and interprets and administers University policies affecting group activities.

Veteran Affairs

Information regarding educational benefits to veterans and to sons and daughters of veterans killed or disabled in service is provided by this office. Information regarding their selective service status is also available to students.

Audio-Visual Center

The library of the Audio-Visual Center includes more than 30,000 prints of educational motion pictures, 3,000 filmstrips and slide sets, and 400 recordings. New materials are constantly being added to the library, and the Selection Department will welcome suggestions from faculty members for desirable additions to this stock.

File System

To facilitate the use of audio-visual materials for instruction and research, the Center maintains a file of information on motion pictures, filmstrips, recordings, and other materials available either from the Center or from other educational and commercial libraries. An up-to-date evaluation file is kept of appraisals by instructors of the educational worth and technical quality of subjects used on the campus. Faculty members are encouraged to take advantage of the assistance of the Center's staff in planning for the use of audio-visual materials that correlate with or contribute to courses offered on the campus and at University centers.

Requests for Service and Scheduling

Through a direct appropriation from the University, the Center provides, at no direct cost to departments, University-owned films and other audio-visual materials in the library and provides equipment and operators for use in classes carrying University credit. Only where it is necessary to rent materials from other libraries is there a charge to the budget of the department originating the request. Requests for service should be submitted to the Campus Scheduler (Ballantine Hall, Room 132) at least forty-eight hours in advance of intended use of materials, equipment, and/or operator.

For other than regular classroom purposes, materials, equipment, and operators are available to all University departments and organizations on a nominal service-charge basis. As in the case of campus services, requests should be submitted to the Campus Scheduler, Ballantine Hall, Room 132.

Recording Laboratory

The Recording Laboratory (Swain Hall East) has staff and equipment for making 78 r.p.m. and 33 1/3 r.p.m., both standard and microgroove, disks and tape recordings of class activities, University events, and research projects. Sound from different sources—such as live, disk, or tape—can be mixed and recorded in desired sequence on either disk or tape. Sound may be rerecorded on film in production of sound motion pictures. Permanent pressings may be obtained from master recordings. Where it is not practical for work to be done in the studio, the recording laboratory can be connected by telephone lines to a classroom or department, or portable recorders can be transported to the location.

Photographic Laboratory

Services of the Photographic Laboratory (Student Services Building) are designed to meet the needs of University departments for photography in research, teaching, and public relations. The general service includes the photographing, in black and white or color, of persons, objects, performances, and events either in the studio or in departmental classrooms or laboratories. Other services include: copying photographs, illustrations, charts, and graphs; making either color or black-and-white prints; doing high- or low-power photomicrography and cinephotomicrography; rapid ekta-chrome color processing; taking passport, application, and publicity portraits, and making faculty, staff, and student I.D. cards. A large morgue is maintained, and prints can be ordered from over 40,000 negatives on file, which cover a wide range of University pictures taken over a period of years. Services are also offered in the planning and producing of slide films, slide sets, and pictorial sequences.

Graphic Arts Department

The Graphic Arts Department offers services in areas of brush and airbrush retouching, photomontage, layout for bulletins, brochures, and general campus publications, illustrations, cartoons, wet and dry mounting, photographic posters, general art work and lettering, and the planning and production of handmade slides and filmstrips as well as titling and animation for motion pictures.

Motion Picture Department

The Motion Picture Department can produce both silent and sound motion pictures of classroom activities, demonstrations, and research activities. On such projects the motion picture staff works with departments on the necessary research, planning, and scripting.

Teaching materials produced in cooperation with departments for use in campus classes may also meet instructional needs of other colleges, schools, and community groups. Where it is possible to recover part of the production costs through the rental and sale of copies to other institutions and groups, the department is charged for the difference between estimated income and production cost. On some types of productions it is possible to recover full cost from sale and rentals, and the cooperating department is provided copies at no cost. Departments interested in the production of recordings, graphic materials, sound and silent slide sets and slide films, silent and sound motion pictures, and other audio-visual materials which will have a sufficient demand from off-campus groups to permit production on a partial or full revolving-fund basis are invited to consult with the head of the appropriate department in the Audio-Visual Center as listed in the campus telephone directory.

Bureau of Educational Studies and Testing

The Bureau offers both test scoring and test-item analysis services to individual faculty members. These services, which are provided free of charge, have been

found valuable both in handling large volumes of machine-gradable examinations and in improving the quality of examinations. The Bureau also undertakes other studies for the improvement of testing. Assistance in any of these areas should be requested from the Director, Bureau of Educational Studies and Testing.

Conferences and Short Courses

The University in general encourages and fosters the holding on its campuses and at its University centers of educational meetings, short courses, institutes, and contests, provided that such meetings do not interfere with the regular academic program of the University or the housing of University students.

The Division of University Extension and the Division of Regional Campuses may provide and extend use of their facilities for training courses conducted by departments and agencies of the state of Indiana and other governmental subdivisions of the state.

University Overseas Study Programs

Indiana University encourages and operates educational programs at various international locations, for which University credit is granted. The University Overseas Study Committee, which draws members from each of the campuses, is empowered to review the content and logistics of all overseas programs.

As of mid-1973, the University's sponsored and approved programs include the following: Academic year programs in Bologna, Hamburg, Jerusalem, Lima, Madrid, Sao Paulo, and Strasbourg; Summer language programs in Mexico City and Dijon; a Summer program in Medieval Art History at Troyes; participation in consortia-operated programs for single semesters in Rome, Singapore, Rennes, Seville, and Leningrad; Continuing Education programs in Edinburgh and Bermuda; a Summer Political Science Study Seminar in the Middle East; a Summer Study program in Education. In addition, the University maintains individualized exchange programs with various universities and research institutes in Europe, South America, and Japan.

EMERGENCIES

Fire Alarms

By state law, the University is required from time to time to conduct fire drills in its public buildings. The specific regulations for procedure at such times are available from the Safety Division, but in general it should be noted that faculty members conducting classes or laboratories at the time of the alarm are charged with the responsibility of seeing that their students leave the building promptly.

Disaster Control Plan

Potential threats of disaster from tornadoes, epidemics, fire explosions, transportation wrecks, or enemy attack impose upon Indiana University the obligation to plan, organize, and train for survival and recovery from such disasters and to provide assistance to the community, county, or state if needed.

The Disaster Control Organization includes but is not limited to the following University departments: Safety Division, Office of Student Affairs, Physical Plant, Dormitories and Food Services, University Relations (Information Service), and Medical Services.

The telephone alerting plan is designed to advise key personnel of possible, imminent, or actual disaster situations. Key personnel to be notified will prepare detailed plans for alerting their subordinates. A siren has been installed on top of the Services Building to alert all personnel of possible enemy attack or other types of impending danger by these signals: attack imminent—siren sounding in a rising and falling pitch; attack probable—siren on a constant pitch.

Radioactive Safety

A radiological control program as required by the U.S. Atomic Energy Commission is administered by the Radiological Control Committee representing departments using ionizing radiation in their programs. This committee supervises a film badge program, approval of users of radioisotopes, disposal of radioactive wastes, and periodic surveillance of the areas where this material is used.

Persons using radioactive materials should acquaint themselves with their Building Radiation Safety Officers, who should be contacted immediately in the case of emergencies.

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